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ABSTRACT

This Systems and Procedures Exchange Center (SPEC) collection of library documents illustrates approaches to and techniques of performance appraisal used in Association of Research Libraries (ARL) libraries. Included are (1) performance appraisal forms, policies, and procedures from Stanford University, University Library Council, Louisiana State University, University of California-Berkeley, University of Nebraska-Lincoln, Iowa State University, and University of Chicago; (2) forms and instructions for the evaluation of supervisors from University of Texas, University of Nebraska-Lincoln, University of Kentucky, and Washington University; (3) guides and forms used in training supervisors in performance appraisal methodology, from Yale University and the University of Connecticut; and (4) a proposed plan for a performance appraisal system from Michigan State University. The collection is introduced by a concise summary of the results of a 1979 telephone survey of selected ARL member libraries, including the orientation of new approaches to performance review toward contributions to organizational goals, opening the lines of communication between supervisors and employees, and staff development. A brief discussion of needs and trends is included. (THC)

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Performance Appraisal

Kit 53

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PERFORMANCE APPRAISAL IN ARL LIBRARIES

An increasing interest in improving the effectiveness of performance appraisal for both the organization and the individual on the part of ARL member libraries has prompted the Systems and Procedures Exchange Center to conduct a telephone survey of selected ARL members and to issue this new Kit and Flyer.

In December 1974 when the first SPEC Kit and Flyer on Performance Review was issued, there was only the earliest indication that performance appraisal systems were becoming useful library management tools. Until that time, performance reviews, if conducted at all, were little more than checklists of traits to be filled in periodically by the supervisor. There had been few attempts by libraries to develop forms to respond to the particular needs of their staffs; instead there had been heavy reliance on forms and procedures used by parent institutions. Typically, the intent was to fulfill the parent institution's requirements for annual reviews and to provide documentation for annual merit increases. More recently, new approaches to performance review are oriented toward contributing to organizational goals, opening the lines of communication between the supervisor and the employees, and developing staff members.

ORGANIZATIONAL GOALS. Performance appraisal has become for many libraries an ongoing planning, goal setting, and evaluation process, with an emphasis on evaluating performance rather than the person. Some libraries have initiated performance appraisal systems that are based on unit and individual performance goals. This goals-based system is directed toward performance improvement rather than the distribution of rewards and punishments within an organization. The emphasis is less on individual performance than on overall performance of specific units and departments of the library, frequently leading to a more collaborative and creative approach to identifying and solving problems and capitalizing on opportunities. If the goals-based performance system is related to the over-all objectives of the library, it can become a powerful tool in fulfilling the library's strategic plan. Performance appraisal, then, becomes an organized, rational part of the library's planning efforts.

Some libraries, recognizing the difficulty in combining a rewards system and goals-based performance appraisal, have moved to operating separate systems. They realize that when individual compensation is an issue, it is more difficult to gain commitment to unit goals and unit performance. So they have attempted to administer rewards in another way. And in practice, rewards system which focuses on the need for equity and delineates the process for remedial action can feed into the more formal performance appraisal process.

COMMUNICATION. Performance appraisal also is looked upon as a vehicle for two-way communication between the supervisor and the employee. Perhaps the most significant changes in performance review have occurred in the design of procedures which recognize that most staff want the library to perform well and that they wish to contribute to that performance in a meaningful

way. The appraisal process can respond to the staff members' need to know explicitly what is expected of them and to be evaluated accordingly. In an increasing number of libraries, previously agreed-upon performance criteria serve as the basis for the evaluation and the supervisor-employee conference is considered an important part of the ongoing process of redefining work goals and adjusting activities to new work situations. An opportunity for the staff to offer input on the effectiveness of the supervision they receive is considered quite important by a few libraries practicing evaluation of supervisors, and a number of libraries are developing such a review process.

The use of goals-based performance appraisal significantly affects the role of the supervisor. With the emphasis on unit performance, there is less individual control by the supervisor and a greater reliance on collaboration with those directly involved in the day-to-day work. Also, there is a greater need for the supervisor to give feedback on job performance in a more timely way. Rather than focusing on the once a year appraisal, the role of the supervisor is to provide feedback on work performance as it occurs. The counseling role of the supervisor increases and the controlling and directing function becomes less important.

DEVELOPMENT OF STAFF MEMBERS. While performance appraisal traditionally has involved evaluation of an employee's work over the preceding year, libraries also are using the appraisal process for staff development purposes. As faculty status for librarians becomes more widespread, issues relating to promotion and tenure grow in complexity, and additional information is requested and gathered at appraisal time. It should be recognized that faculty status relates to the rewards system primarily, and that it can operate separately from a goals-based performance appraisal system which attempts to look at the individual's role in meeting unit goals.

More appraisals are taking into account a review of the individual's managerial and supervisory capabilities. The growing awareness that technical competence alone is insufficient has led many libraries to seriously apply managerial capability to the criteria for selecting unit and department heads and to identify talent in the organization at an early stage in order to cultivate it.

In a similar way, a goals-based performance appraisal system can lead to career development opportunities for staff. In conducting regular performance review interviews with staff, the supervisor can provide feedback to the individual and the two of them can look to the future to define additional roles and goals. At the same time, individual responsibility as well as organizational responsibility can be clearly defined so that the person knows what he/she must do to be successful.

NEEDS AND TRENDS. Libraries are exhibiting an increased awareness of the supervisor's responsibility in implementing an effective appraisal system. It appears, also, that more libraries are understanding the importance of providing training for supervisors if they are to be held accountable for supervision. Thus, a number of libraries have designed training programs to assist supervisors in making the most effective use of a performance appraisal system, including components such as goal-setting, planning, listening skills, and career counseling.

There is a need for library managers to learn to deal effectively with the complexities of a performance appraisal system. While increased attention on developmental opportunities has benefitted staff members by making performance appraisal more relevant, equitable, and objective, it also has resulted in a more complex process that is sometimes difficult to manage. It is important to focus on the results of such systems while simplifying and streamlining the methodology wherever possible.

SPEC Kit #53 on Performance Appraisal in ARL Libraries (April 1979, 116 pages) contains six documents on performance appraisal forms, policies, and procedures; four documents on evaluation of supervisors; two documents on training supervisors in performance appraisal methodology; and one document on planning a performance appraisal system. It is available for $7.50 to ARL members and for $15.00 to all others -- prepaid only -- from SPEC, Office of Management Studies, 1527 New Hampshire Avenue, N.W., Washington, D.C. 20036.

STANFORD UNIVERSITY LIBRARIES

ACADEMIC STAFF-LIBRARIES

ANNUAL CAREER AND DEVELOPMENT REVIEW

Name of Employee_____ Library Unit_____

Classification_____ Date of Review_____

WHEN COMPLETING THIS FORM, PLEASE REFER TO THE ULC GUIDELINES FOR PERFORMANCE APPRAISALS WHICH DISCUSS AREAS TO BE TREATED IN EACH APPRAISAL. ALL ANSWERS SHOULD BE ATTACHED TO THIS FORM.

The purpose of appraisals is to document in a fair and consistent manner the total contribution which each employee makes to the program of the libraries, to contribute to planning in the libraries by means of individual goal-setting, and to enable staff to see relationships between their performance and responsibilities and their compensation. At the same time, this is an opportunity to examine career progress and explore ways to aid the employee's development.

This performance appraisal is to consist of a) this cover sheet; b) a copy of last year's goals; c) an up-to-date position description for the employee (if responsibilities have changed substantially, write "revised" on the description); d) the supervisor's appraisal of the employee's performance; e) the employee's response to the questions listed on the reverse of this sheet; and f) the work-related, professional goals established by the two during the course of their discussions on the appraisal. The supervisor's copy of this cover sheet is to be signed by both when all the elements (a to f) have been assembled and discussed.

"We have assembled all of the data specified above, have followed the instructions on the reverse of this sheet, discussed all parts of the appraisal, and have agreed on the goals listed."

_____ Employee _____ Date

_____ Supervisor _____ Date

Reviewed:

_____ Department Chief _____ Date

_____ Assistant Director _____ Date

_____ Director _____ Date

SUPERVISOR'S INSTRUCTIONS

1. Evaluate the employee's achievement of the goals last set. If they were not achieved satisfactorily, were there any external conditions which prevented this?

2. How well does the employee carry out the responsibilities described in the position description? In answering this, please discuss the following: a) levels of competence; b) productivity; c) contributions to the objectives of the Library and the University; d) individual potential and career development. (Refer to the ULC Guidelines for Performance Appraisals for elaboration of each of these points.)

3. For those with supervisory/managerial responsibilities, answer the following questions not already covered in #2 above: a) Describe the employee's general knowledge and background in the Library organization and operation which affect his/her ability to supervise or manage; b) Evaluate the employee's supervisory and managerial skills; c) Evaluate the employee's communication skills in relationships with staff; d) Discuss the employee's commitment to and efforts toward staff development; e) If the employee has responsibility for hiring regular staff, or provides significant input into hiring decisions, what is his/her knowledge of and contribution to the affirmative action goals of the Library and the University? How does he/she work toward these goals? f) Discuss briefly the performance of the unit for which the employee is responsible, taking into accoun the service goals of your department. (Refer to the ULC Guidelines for Performance Appraisals for elaboration of each of these points.)

EMPLOYEE'S INSTRUCTIONS

1. Please respond to the following: a) Evaluate your own performance in view of your qualifications and the position description; b) Have you encountered any problems in achieving the goals which you and your supervisor established during your last performance review or generally in carrying out your responsibilities? If so, how do you think these problems can be eliminated? c) What can your supervisor do to help you carry out your responsibilities? d) Attach a current copy of your annual professional activities form. Are there areas in which the Library can help by providing opportunities for further professional growth? e) Respond to your supervisor's evaluation.

GOALS INSTRUCTIONS

A statement of specific goals to be worked on during the coming year is to be completed by both the employee and the supervisor after their earlier discussions. Normally, each will bring a draft list of goals to the appraisal discussion and will arrive at a consensus on the goals for the next year during the course of that discussion. Effective career development depends upon careful planning for the future, and establishing work-related professional goals can be a useful way of carrying out this planning for individuals.

1. Discuss here professional goals on which you both agree for the coming year.

2. Try to relate the goals to the goals and objectives of the department and to the position description of the employee receiving the appraisal.

3. Indicate what help from the Library or the supervisor or other sources such as training programs, courses, etc., would be particularly helpful in fulfilling any of the goals outlined above.

STANFORD UNIVERSITY LIBRARIES

GUIDELINES FOR PERFORMANCE APPRAISALS

I. The following general guides should be followed when preparing performance appraisals:

1. Reference to technical or operational matters should be described so that they will be clearly understood by persons not connected with your department.
2. In case of multiple assignments, each assignment should be treated separately (e.g., book selection, supervision, etc.).
3. Evaluations should refer to specific and demonstrated results or outputs.

II. The following points should be treated in each appraisal:

A. Levels of Competence (for staff members with supervisory or managerial responsibilities see also Paragraph III).

1. How would you characterize the quality of the employee's performance?
2. Have there been significant changes in the employee's performance over the past year?
3. Has there been performance toward specific goals and objectives or on assignments this year that you consider especially noteworthy?
4. What other types of assignments or jobs is this staff member prepared to perform at this time? Have you and the staff member discussed the next step in his/her career?

B. Productivity

1. How is productivity assessed in your unit, division, or department?
2. How do you evaluate the employee's productivity? You may wish to consider the following points:
   a. Ability to effectively plan and organize work.
   b. Ability to attain goals on a timely basis.
   c. Responsiveness to the need for extra work if necessary.
   d. Quality of output.

C. Contribution to the Objectives of the University.

It is assumed that as an employee of the University Libraries, each staff member contributes to the objectives of the University. In addition to fulfilling assigned tasks, however, has the staff member made other contributions to the University's objectives? Such contributions may be demonstrated by Library or University committee work, participation in the undergraduate adviser program, participation in the Campaign for Stanford, etc.

D. Individual Potential.

1. What did the staff member do to keep current in his/her job or field?
2. Are there specific areas in which further growth or development would enhance his/her performance in this position?
3. What can the staff member do this coming year to improve his/her performance in terms of developing additional skills?

III. For staff members with supervisory or managerial responsibilities, the following points should be included when discussing Paragraph II-A.

A. The employee's general knowledge and background which affect his/her ability to supervise or manage, concentrating on such points as the following:

1. Knowledge of general library policies.
2. Understanding of interdepartmental relationships within the University Libraries.
3. Knowledge and understanding of departmental routines and policies.
4. Knowledge of subject area.

B. The employee's organizational skills including the following points:

1. Accepting decision-making responsibility.
2. Providing reasons for decisions and procedures which are clear and well thought out.
3. Communicating decisions, policies and other necessary information to appropriate individuals.
4. Flexibility.
5. Being able to formulate effective procedures and routines.
6. Setting and communicating priorities for tasks assigned.
7. Allocating sufficient time for assigned tasks.

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8. Following through to see that assignments are carried out effectively.
9. Giving feedback to staff on progress of assignments.
10. Providing adequate training for effective performance of tasks.
11. Coordinating assigned tasks with other work units outside immediate jurisdiction.
12. Delegating authority to staff as appropriate.
13. Acting on staff requests for correction of problem areas.

C. The employee's communication skills and relationships with staff including the following points:

1. Being available for consultation.
2. Listening well.
3. Encouraging staff participation in decision-making process.
4. Encouraging questions about procedures and policies.
5. Being receptive to suggestions and criticisms.
6. Teaching, correcting, guiding constructively and patiently.
7. Treating individuals with respect.
8. Being considerate of personal needs of staff, within departmental guidelines.
9. Respecting confidences.
10. Writing evaluations that accurately reflect skills and performance.

D. The employee's commitment to staff development including the following points:

1. Encouraging staff to attend classes, meetings, conferences,etc., which may be of help in the job.
2. Providing opportunities on the job for increased responsibility within the framework of the job classification and departmental requirements.
3. Approving time off for career development activities.
4. Informing staff members of opportunities for advancement or career development.
5. Encouraging staff promotions when appropriate.

E. The employee's knowledge of and contribution to the affirmative action goals of the University.

1. How can the employee contribute to the affirmative action goals of the University?
2. What are significant considerations which should be taken into account in viewing the affirmative action accomplishments of the individual's area of responsibility?

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STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL PROGRAM

General Policy:

The Performance Appraisal Program in the Stanford University Libraries is one way of providing a channel for communication between employees and their supervisors. An appraisal should accomplish the following:

1. Enable the supervisor and employee to set reasonable and clear goals toward which the employee will work during the period before the next scheduled appraisal.

2. Evaluate the performance of employees based on the goals which are enumerated in each appraisal.

3. Insure that rewards (salary increases, promotions, etc.) are distributed rationally and equitably, based on the responsibilities and performance of the individual employee as reflected in the appraisal.

Procedure:

According to an approved schedule, the Library Personnel Office will notify Department Chiefs of regularly scheduled appraisals. This does not preclude supervisors from carrying out informal appraisal conferences with employees throughout the year. Forms and schedules for appraisals are available in the Library Personnel Office.

Performance appraisals should be arranged by the employee's immediate supervisor. The supervisor gives Form B to the employee who is to complete Questions 1-3 while the supervisor completes Form A. The supervisor gives the completed Form A to the employee who will then be able to answer Question 4 on Form B which asks for a response to the supervisor's comments within two working days. Within five working days of completion of Forms A and B, the two should schedule a meeting at a time convenient to both to discuss the documents and to prepare Form C, a statement of mutual goals; they may wish to schedule meetings at other points in the appraisal process as well. Employees should not, however, be asked to change their response to any question on Form B.

During the appraisal conference, supervisor and employee should discuss establishment of mutual goals. There may be some cases where the establishment of goals consistent with the job assignment is impossible. These cases should be discussed by the supervisor with the appropriate Department Chief after the appraisal conference. If the Department Chief and supervisor agree that no goals can be established, a statement to this effect should appear on Form C. Completion of all forms and scheduling of the conference should be carried out by the date specified by the Library Personnel Office.

After the conference, the supervisor and staff member should sign Forms A, B and C. Signatures on Forms A and B do not necessarily signify agreement on all points discussed, but indicate that both the employee and supervisor have discussed the appraisal. Signatures on Form C signify agreement on the goals enumerated. If there is disagreement regarding the appraisal on the part of the employee, he or she may discuss the points in question with the appropriate Department Chief or Assistant Director, or with the Library Personnel Officer at any time. If there is no disagreement, the supervisor sends the forms to the Department Chief for review and comment, if necessary. The Department Chief then transmits the appraisal to the Library Personnel Office via the appropriate Assistant Director.

The Library Personnel Office will provide copies of the appraisal to the employee and the Department Chief, keeping the original in the employee's personnel file in the Library Personnel Office.

Performance Standards:

It is important that consistent performance standards be applied in evaluations of all employees in the University Libraries. Each year Library Department Chiefs and Directors should determine standards within each Department and Division, and then review these standards with all other Department Chiefs and Director to insure consistency. These standards can then be distributed to all staff members.

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STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL PROGRAM

SCHEDULE

In order to insure a consistent and orderly schedule of performance appraisals, the Library Personnel Office will notify Directors and Department Chiefs of the timing of regular performance appraisals, using the following guidelines:

I. Non-exempt Staff:

1. New-hire; promotion	Review at 3 and 6 months and annually thereafter (accelerated or decelerated progress and leaves of absence without pay will change this schedule).
2. Change in assignment	If there is a change in the supervisor-supervisee relationship, there should be a review to the date of change; the new supervisor should prepare an appraisal within twelve months of the date of the change.
3. Performance	If job performance changes substantially from that recorded in the previous appraisal (either improvement or deterioration), the Department Chief, Director, or supervisor should initiate an appraisal.
4. Personal	A staff member may request a review at any time.

II. Exempt Staff:

1. New-hire as Associate Librarian	Review at 6 months and annually thereafter (leaves of absence without pay will change this schedule).
2. New-hire as Librarian or higher; Promotion	Review at 12 months and annually thereafter (leaves of absence without pay will change this schedule.)
3. Change in assignment	If there is a change in the supervisor-supervisee relationship, there should be a review to the date of change; the new supervisor should prepare an appraisal within twelve months from the date of change
4. Performance	If job performance changes substantially from that recorded in the previous appraisal (either improvement or deterioration), the Department Chief, Director, or supervisor should initiate an appraisal.
5. Personal	A staff member may request a review at any time.

Although performance appraisals for exempt staff and non-exempt staff in the merit zone are normally due in March, Chiefs of large departments may wish to stagger the schedules for appraisals in order to accommodate the work load. Department Chiefs may carry out appraisals on a regular schedule between October and March; they should notify the appropriate Assistant Director and the Library Personnel Officer of such variations in schedules.

In cases of employees who work with more than one supervisor, it is the responsibility of the primary supervisor to solicit evaluative comment from all other supervisors.

New employees will be informed of the Performance Appraisal Program by the Library Personnel Office at the time of hire. During the first few weeks of employment, supervisors should discuss with new employees the goals they will be expected to achieve during the probationary period and/or the first year.

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STANFORD UNIVERSITY LIBRARIES
NON-EXEMPT PERFORMANCE APPRAISAL PROGRAM

This form is to be completed by the SUPERVISOR in preparation for the Performance Appraisal Conference

Name of Staff Member _____ Library Department/Branch _____

Library Classification _____ Starting Date in Classification _____

Date of last Appraisal Conference _____ Scheduled Conference Date _____

Put complete answers on separate sheet if there is not enough room in the space provided on the other side.

1. Please attach a copy of the current job description of the staff member (PER-2). If this job description has been changed from that previously submitted, type "REVISED" across the center top margin. Attach also a copy of Form C from the last appraisal if this is not the first appraisal.

2. Please evaluate the employee's achievement of any goals which were enumerated in the previous appraisal; if they were not achieved satisfactorily, were there any external conditions which prevented this? (NOTE: This question need not be answered for the employee's first appraisal.)

3. How well does the staff member perform the tasks and responsibilities which are outlined in the job description? In answering this question, please discuss the following:

   a. How do you characterize the quality of the employee's performance? Include here evaluation of any significant changes in performance or work toward specific mutual goals which you consider especially noteworthy.

   b. Taking into account the method of assessing contributions to your department, how do you evaluate the employee's productivity? You should consider the employee's ability to plan and organize work effectively, the ability to attain objectives in a timely manner, and responsiveness to new assignments when necessary.

   c. If the employee is responsible for supervision of any regular staff, consider the points outlined in Paragraph III of the GUIDELINES FOR PERFORMANCE APPRAISAL and address any of the following points not covered in a and b above:

      (1) Describe the employee's general knowledge of the Library organization and operation which affect his/her ability to supervise or manage.

      (2) Evaluate the employee's managerial and supervisory skills, including communications skills and relationships with staff.

      (3) Discuss the employee's commitment to and efforts toward staff development.

      (4) If the employee has responsibility for hiring regular staff, or provides significant input to hiring decisions, what is his/her knowledge of and contribution to the affirmative action goals of the University Libraries and the University? How does he/she work toward these goals?

      (5) Discuss briefly the performance of the unit for which the staff member is responsible, taking into account the service goals of your Department.

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STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL PROGRAM

This form is to be completed by the STAFF MEMBER in preparation for the Performance Appraisal Conference.

Name of Staff Member_____ Library Department/Branch_____

Library Classification_____ Starting Date in Classification_____

Date of last Appraisal Conference_____ Scheduled Conference Date_____

1. Have you encountered any problems in achieving the goals which you and your supervisor established during your last performance appraisal, or generally in carrying out your responsibilities and duties? If so, how do you think these problems can be eliminated? (NOTE: This question need not be answered for the staff member's first appraisal.)

2. How do you characterize the quality of your performance of assigned tasks and responsibilities since the last appraisal? If you have assigned supervisory responsibilities, include a description of your view of your supervisory skills. (Optional)

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3. Which aspects of the supervision you have received during the past year have been particularly helpful in carrying out your goals and the responsibilities of your position? Which, if any, have not been helpful? You may wish to consider the points outlined in Paragraph II of the attached GUIDELINES FOR PERFORMANCE APPRAISALS when answering this question.

4. Please give a thorough response to your supervisor's evaluation on Form A. Use any format or length you wish.

STANFORD UNIVERSITY LIBRARIES

PERFORMANCE APPRAISAL PROGRAM

This form is to be completed by the SUPERVISOR and STAFF MEMBER together after the Performance Appraisal Conference.

Name of Staff Member _____ Library Department/Branch _____

Library Classification _____ Date _____

Setting goals is an activity which is most effectively accomplished by employee and supervisor cooperating to determine the directions in which both will work in the future. These mutual goals should be consistent with the job assignment of the employee. Please enumerate here the goals on which you both agree for the coming year and indicate what help from the supervisor or other sources, such as training programs, courses, etc., would be particularly helpful in fulfilling these goals.

I have read and discussed this appraisal. We agree on the goals listed above.

_____ (Employee) _____ (Date)

_____ (Supervisor) _____ (Date)

Reviewed by:

_____ (Department Chief) _____ (Date)

_____ (Director) _____ (Date)

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University Library Council Memorandum #6

GUIDELINES FOR PERFORMANCE APPRAISALS

I. The following general guides should be followed when preparing performance appraisals:

A. Reference to technical or operational matters should be described so that they will be clearly understood by persons not connected with your department.

B. In the case of multiple assignments, each assignment should be treated separately on one form (e.g., book selection, cataloging, supervision, etc.); in the case in which there are two supervisors, each supervisor should use a separate form, but they should consult with one another in advance on the points each will discuss.

C. Evaluations should refer to specific and demonstrated results or outputs.

D. Points raised in the appraisal should not be unexpected to either librarian or supervisor.

II. The following points should be treated in each appraisal:

A. Levels of Competence (for librarians with supervisory or managerial responsibilities see also Paragraph III)

(1) How would you characterize the quality of the librarian's performance? Discuss this both in absolute terms and in relation to the performance of others in the peer group.

(2) Have there been significant changes in the librarian's performance over the past year?

(3) Has there been performance toward specific goals and objectives or on assignments this year that you consider especially noteworthy? Were the objectives of the past year met?

(4) What other types of assignments or jobs is this librarian prepared to perform at this time?

B. Productivity (for positions in which productivity is a significant factor)

(1) How is productivity assessed in your department?

(2) How do you evaluate the librarian's productivity? You may wish to consider the following points:

a. Ability to plan effectively and organize work.
b. Ability to attain goals on a timely basis.
c. Responsiveness to need for extra work if necessary.

(3) Were the objectives of the past year met?

C. Contributions to the Objectives of the University and Library

It is assumed that as a member of the Academic Staff, each librarian contributes, as opportunities present themselves, to the objectives of the library and the University as a whole.

(1) In addition to fulfilling assigned tasks, has the librarian made other contributions to the University's objectives? Such contributions may be demonstrated by University committee work, participation in the undergraduate adviser program, participation in the Campaign for Stanford, etc.

(2) Have there been contributions to the library beyond the required assignments?

D. Individual Potential

(1) What did the librarian do to keep current in the field?

(2) Are there specific areas in which further growth or development would enhance his/her performance in this position?

(3) What can the librarian do this coming year to improve his/her performance in terms of developing additional skills?

(4) Have you and the librarian discussed the next phase in his/her career?

III. For librarians with supervisory or managerial responsibilities, the following additional points should be included when discussing Paragraph II.A:

A. The librarian's general knowledge and background which affect his/her ability to supervise or manage, concentrating on such points as comprehension of:

(1) General library policies.

(2) Interdepartmental relationships within the library.

(3) Departmental routines and policies.

(4) Subject area.

B. The librarian's organizational skills including the following points:

(1) Accepting decision-making responsibility.

(2) Providing reasons for decisions and procedures which are clear and well thought-out.

(3) Communicating decisions, policies, and other necessary information to appropriate individuals, i.e., staff, colleagues, supervisors, directors, etc.

(4) Flexibility.

(5) Being able to formulate effective procedures and routines.

(6) Setting and communicating priorities for tasks assigned.

(7) Allocating sufficient time for assigned tasks.

(8) Following through to see that assignments are carried out effectively.

(9) Giving feedback to staff on progress of assignments.

(10) Providing adequate training for effective performance of tasks.

(11) Coordinating assigned tasks with other work units outside immediate jurisdiction.

(12) Delegating authority to staff as appropriate.

(13) Acting on staff requests for correction of problem areas.

C. The librarian's communication skills and relationships with staff including the following points:

(1) Being available for consultation.

(2) Listening well.

(3) Encouraging staff participation in the decision-making process.

(4) Encouraging questions about procedures and policies.

(5) Being receptive to suggestions and criticisms.

(6) Teaching, correcting, guiding constructively and patiently.

(7) Treating individuals with respect.

(8) Being considerate of personal needs of staff, within departmental guidelines.

(9) Respecting confidence.

(10) Writing evaluations that accurately reflect skills and performance.

D. The librarian's commitment to staff development, including the following points:

(1) Encouraging staff when feasible to attend classes, meetings, conferences, etc., which may be of help in their work.

(2) Providing opportunities in the job for increased responsibility within the framework of position classification and departmental requirements.

(3) Approving time off when feasible for career development activities.

(4) Informing staff members of opportunities for advancement or career development.

(5) Encouraging staff promotions when appropriate.

E. The librarian's knowledge of and contribution to the Affirmative Action goals of the library and University.

(1) How can the librarian contribute to these goals.

(2) What are significant considerations which should be taken into account in viewing the librarian's accomplishments in light of the goals?

University Library Council Memorandum #7

ACADEMIC STAFF - LIBRARIES
ANNUAL CAREER REVIEW AND DEVELOPMENT PROGRAM

The goal of the Career Review and Development Program in the Academic Staff-Libraries is mutual understanding between librarian and his/her supervisor of the current responsibilities of the librarian and of the direction in which the librarian will move both as a member of the Academic Staff and as a professional. The program provides an opportunity for librarians to review their accomplishments during the past year and to plan for further contributions to the library programs of the University and for continued professional development by enabling the librarian and his/her supervisor to discuss openly and constructively goals for the future and to assess contributions of the past. The documentation resulting from these discussions is used during the salary setting process to insure fair compensation decisions by providing a complete assessment of performance.

Schedule: The Career Review and Development Program is carried out annually for all librarians, at a time determined by each library director who may decide to set up a staggered schedule throughout the year. Newly appointed librarians should have the first review within nine months of the appointment.

Format: The attached forms provide a framework for assessment and goals development and the Guidelines for Performance Appraisal provide a checklist of points which should be considered during the review. Librarians and their supervisors are not required to use the forms provided, but any alternative formats used should treat all aspects of an individual's responsibilities and the points enumerated in the Guidelines.

Position Description: Regardless of the format used, each librarian should have a current Position Description which will serve as the basis for review and goal setting. The librarian and his/her supervisor should discuss the Position Description during the annual review process and should agree that the description is complete and accurate. The signature of both on the Position Description form indicates such agreement.

Evaluation Conference: The review process continues with a discussion arranged by the librarian's supervisor to review the accomplishments of the past year and to plan for the coming year.

By the time of the scheduled conference, the supervisor should have completed the appropriate form (either Form A or an alternative form) and should be prepared to discuss the appraisal. The librarian should have completed the appropriate form (either Form B or an alternative form) except for question #5 which asks for a response to the supervisor's evaluation. This response should be completed within one week of the conference. In addition to the scheduled conference, frequent discussions about work responsibilities and goals are encouraged throughout the year.

Goals Formulation: The librarian and supervisor should work together on defining goals for the coming year. The Goals Statement (Form C) should be completed within six weeks after the conference and should be signed by both the librarian and supervisor to show agreement on the goals.

LOUISIANA STATE UNIVERSITY LIBRARY
GUIDE TO PERFORMANCE EVALUATION

In compliance with the University requirement that an annual performance review be conducted, the Library has prepared a form which will serve as a part of the evaluation process for librarians and library assistants. A revised evaluation form has been prepared as a result of comments received from the first formal evaluation of performance which was conducted in April 1976. The evaluation process is intended to serve as a means for guidance and individual growth in addition to being a permanent record of performance. The evaluation form will provide relevant information for promotion, tenure, and salary considerations.

"Performance is evaluated by the degree to which a person achieves explicit objectives in terms of measurable performance or results."[1] Evaluation should be a continuous part of supervision, and its objective should be to help the employee recognize his strengths and weaknesses in job performance and thereby to become a more successful member of the staff. The evaluation process can offer clarification of the individual librarian's responsibilities in relation to the Library's goals of effective service and support of the University's mission.

There are certain common errors made in evaluations that the evaluator should be careful to avoid. The error of <u>personal bias</u> occurs when the rater lets his feelings or prejudices influence his judgment of the ratee, so that the resulting ratings are consistently either too high producing the <u>halo-effect</u>, or too low producing a negative slant. The error of <u>central tendency</u> applies to a rating too near the norm to reflect true performance and can be denoted if the evaluator seldom gives ratings at the extremes of the scale. <u>Logical error</u>

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[1] Marjorie Johnson, "Performance Appraisal of Librarians - A Survey," College and Research Libraries, XXXIII (September, 1972), 360.

happens most often when definitions of characteristics are not given and there is a misunderstanding of the characteristics to be measured.

Accompanying the evaluation form, which the department or division head is to complete, are a personnel data sheet and a sheet for goals and objectives.

We suggest that the following procedure be followed in making an evaluation:

(1) Carefully review the entire evaluation form and read definitions and guidelines.

(2) The personnel data sheet (Form 1, page 6) and statement of objectives sheet (Form 2, page 8) should be given to the staff member for completion and should be returned to the department or division head before the evaluation form is discussed. One of the purposes of having a sheet for goals and objectives is to obtain a better understanding of the individual's concept of his position and role in the Library, and this should be used during the discussion of the evaluation form. The use of this form (Form 2) is optional, however, and will not become a part of the personnel file.

(3) Carefully review and rate the staff member's performance over the past year. Do not let isolated incidents or recent events unduly influence the rating. Base your rating on standards you expect to be met in the job performance. Write in the rating that you feel best describes the staff member's performance. Please enlarge upon any unsatisfactory or extremely high rating under "General Evaluation." If one of the points to be rated does not apply, please indicate this by the designation N/A.

(4) Several days in advance, arrange the date and time to discuss the evaluation with the staff member. Plan to meet where your remarks will be private and the staff member can feel free to discuss any problems or complaints without a feeling of haste. Discuss the librarian's or library assistant's performance objectively and constructively, emphasizing personal growth and

development and pointing out strong points as well as areas that need improvement. Suggestions to be considered for the discussion of the evaluation form (Form 3) are listed on page 12.

(5) The librarian or library assistant should sign the evaluation form upon completion of the evaluation discussion. If the person rated wishes to append comments concerning his evaluation, he or she has the option of doing so.

(6) If comments are added by an administrator, i.e., the Assistant Director for Technical Services, the Associate Director, the Coordinator for Special Areas, the evaluation form will be returned to the employee for his/her signature and optional comments.

The evaluation forms and accompanying guidelines will be distributed to department and division heads once each year at the time deemed best by the Director. The time limit for completion will be specified at the time of distribution.

Please keep in mind the definitions on the following page when completing the evaluation form.

DEFINITIONS

A. Performance

QUALITY OF WORK: Ability to perform functions with accuracy, thoroughness, and competence resulting from practical and theoretical knowledge of the position. Conscientious effort and consistency of performance should also be considered.

QUANTITY OF WORK: Amount of work completed and speed with which it is accomplished.

ORGANIZATION OF WORK: Ability to plan work, set objectives and work toward their completion; to establish priorities and to properly allot time for their completion.

JOB KNOWLEDGE: Possesses the knowledge and understanding of duties and responsibilities associated with the position and the requisite educational and technical skills. Is cognizant of the literature, language, and developments in the field.

WORKING RELATIONSHIP WITH PATRONS: Possesses a desire to assist patrons and the ability to assist effectively; exhibits courtesy, friendliness, consideration, and tact; presents a positive image of a service oriented library.

WORKING RELATIONSHIP WITH STAFF: Willingness to work with and for others; ability to maintain good working relations with colleagues through the exercise of consideration, courtesy, and tact; to communicate effectively; to maintain a positive, friendly attitude; to gain the confidence and respect of fellow workers.

JUDGMENT: Ability to recognize and analyze problems and to make sound decisions; to attain goals, to conform to job requirements.

B. Personal Qualities

DEPENDABILITY: Sense of responsibility, application to job, consistency of performance, punctuality, adherence to schedules and deadlines.

INITIATIVE: Exhibits drive, ability to work independently and decisively; recognizes tasks to be done and acts promptly and effectively. Seeks alternative solutions to problems, originates or is alert to new ideas and methods.

ADAPTABILITY: Flexibility, ability to adjust to change, new ideas, innovations, and decisions made by others, to be objective when differences arise and to remain stable in crises.

ATTITUDE TOWARD INSTRUCTION/CRITICISM: Responsive to guidance, instruction; accepts criticism and willingly strives to make needed changes; seeks instruction in order to improve.

C. Professional Qualities

ATTITUDE: Interest and enthusiasm for job; eagerness to learn, improve, and advance in job performance; concern for the Library as exhibited in committee work; willingness to assume additional responsibilities.

PROFESSIONAL ACTIVITIES: Membership in professional and scholarly societies; attends professional or scholarly conventions, workshops, institutes research and publications; professional recognition.

PROFESSIONAL KNOWLEDGE: Knowledge of field; awareness of professional developments; reads current literature; is interested in the advancement of librarianship; professional improvement in the specific job.

OTHER CONTRIBUTIONS TO THE UNIVERSITY: Participates in campus committee work; gives tours and lectures concerning the library; teaches a course; prepares manuals, bibliographies.

D. Supervisory Ability (when applicable):

LEADERSHIP: Ability to guide and stimulate others; commands respect and confidence of colleagues.

APPROACHABILITY: Encourages staff members to discuss problems and make suggestions; is receptive to new ideas; exhibits patience and understanding.

ABILITY TO INSTRUCT/TRAIN: Is able to give clear instructions and guidance with new tasks; provides follow up training as needed; encourages staff development.

ABILITY TO PLAN/ORGANIZE: Sets realistic goals for the department; organizes tasks in a logical manner to achieve the established goals.

ABILITY TO RELEGATE RESPONSIBILITY/ASSIGN DUTIES: Assigns duties and responsibilities in a fair and impartial manner according to staff capabilities; distributes work load as evenly as possible.

Personnel Data Sheet

Each staff member should complete this form and give it to his/her department head prior to the evaluation conference. This form should be returned to the Library Office with the evaluation form.

The information requested below is based upon the "Guidelines for Library Faculty Promotion and Tenure Dossiers." It is hoped that duplication of effort will be prevented by use of this form in conjunction with the "Guidelines..." for the professional staff members.

I. Service:

A. Summary of memberships (enter full names of all professional associations and honor societies, dates of membership, elected or appointed positions held and level of position [i.e., local, state, etc.] and dates of office.)

B. Summary of service on Library Committees:

C. Summary of service on University Committees:

D. Summary of other services performed and other memberships:

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II. Professional Development, Research and/or Creative Activities:

A. Additional degrees earned or coursework completed:

B. Research and/or creative publications:

C. Attendance and/or Contributions to Conventions, Workshops, Seminars:

D. Summary of fellowships, grants, and awards:

E. Courses taught, lectures given, other professional, research and/or creative activities:

F. Other recognition:

Louisiana State University Library

Statement of Objectives

The paragraph below may be responded to by the person being rated, if the department or division head requires its completion or if the ratee chooses to do so. Completion should be timed so that the department/division head may review the staff member's comments prior to the scheduled appointment to discuss the evaluation form.

This form will not become a part of the staff member's personnel file. It may be kept by the department/division head.

With your duties and responsibilities in mind, what goals or projects would you like to achieve during the coming year. If there are changes that you would like to see made in your job, please indicate these. You may want to indicate the duties you enjoy most and those you enjoy least, as well as areas where you feel that additional training or experience would be helpful.

FORM 3

LSU LIBRARY - PERFORMANCE EVALUATION FORM

NAME _____ DATE _____

POSITION _____ DEPARTMENT _____

Please use the following symbols in rating the performance characteristics:

E — Excellent — superior performance in most respects; highest quality of job performance; exceptional contribution to position.

VG — Very good — excellent performance in most respects; well above average performance with few weaknesses.

G — Good — good performance in most respects; better than average.

A — Average — satisfactory performance but not distinguished;

P — Poor — below average; often poor or substandard performance; uneven quality; does not perform as well as most.

U — Unsatisfactory — completely unacceptable performance; termination should be considered.

N/A — Not applicable.

A. Performance:

1. Quality of work _____
2. Quantity of work _____
3. Organization of work _____
4. Job knowledge _____
5. Working relationship with patrons _____
6. Working relationship with staff _____
7. Judgment _____

B. Personal Qualities:

1. Dependability _____
2. Initiative _____
3. Adaptability _____
4. Attitude toward instruction/criticism _____

C. Professional Qualities:*

1. Attitude _____
2. Professional Activities _____
3. Professional knowledge _____
4. Other contributions to the University _____

D. Supervisory Ability (when applicable):

1. Leadership _____
2. Approachability _____
3. Ability to instruct/train _____
4. Ability to plan/organize _____
5. Ability to relegate responsibility/assign duties _____

Please list category and number of persons supervised (i.e., student assistants (6), trainees (2), professionals (3), etc.)

_____

_____

_____

_____

*Point 1 should be answered for all staff members; professionals should be rated on points 2-4.

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E. General Evaluation:

Please comment on overall performance. Strong or weak points may be pointed out. Any of the above rating points may be enlarged upon, and special abilities or aspects of performance not covered may be mentioned.

Signature of supervisor / date

F. Comments concerning evaluation from the staff member (optional):

Signature of employee / date

C. 1. Administrator's comments:

Signature of Administrator / date

2. Optional comments:

Signature of employee / date

SUGGESTIONS FOR DISCUSSING
THE EVALUATION FORM WITH THE STAFF MEMBER

The following suggestions were taken from guide to performance evaluation prepared by Penn State and Columbia University Libraries. The committee thought that these would be helpful to the department/division head in discussing the evaluation form.

1. Prepare for the meeting by planning what you wish to discuss with the staff member beforehand. Statement of objectives (Form 2), if completed by the employee, should be reviewed and incorporated into discussion plans for your meeting. In arranging the meeting's time and place, allow ample time to conduct the meeting and be certain that the location will insure the confidentiality of the discussion.

2. The reason for the discussion is to review the individual employee's successes and to point out ways to improve in any areas that need improvement. Emphasis should be placed on personal growth and development of the staff member.

3. Begin by discussing some strengths using specific examples. Avoid implications that the meeting is for disciplinary purposes, but do not obscure the need for improvement if such exists.

4. Encourage self-examination on the part of the staff members. Ask him to tell you where he believes his performance needs improving and how you can help him.

5. Inquire about problems or obstacles that the employee finds are impeding progress and job satisfaction. Mutual understanding may help in the solution of problems.

6. Be willing to learn about the employee and listen with an open mind to facts and opinions expressed by him.

7. Allow for "face saving." It may be necessary for you to state frankly that you may share the blame for some work failures.

8. Be a good listener. Do not dominate or cross-examine. Remember that the employee must do most of the talking at some points of the interview. Control the interview, however. Pull the staff member back from detours or extraneous conversation.

9. When reviewing areas which need improvement, talk about major areas which are critical for job performance and for which examples can be given. Talk about the employee's work or job, not about the employee.

10. Discuss plans for ways to make improvements, for training, or for opportunities for growth, not only in instances of average or poor job performance, but also to take advantage of strengths and potential ability of the employee.

11. When the discussion has been completed, the staff member should know where he stands, where improvement is needed, and have some suggestions for achieving that improvement. A final review of key points, either by the department head or the employee, is a good way to assure understanding.

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UNIVERSITY OF CALIFORNIA
BERKELEY

A BRIEF GUIDE TO

JOB DESCRIPTIONS, INTERVIEW RECORDS

AND PERFORMANCE EVALUATIONS

by

Myra Kolitsch
Library Personnel Office

University of California
Berkeley
June 1978

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PERFORMANCE EVALUATIONS (STAFF PERSONNEL)

Introduction

Work performance reviews are an integral part of employee development, management control, and organizational development. Although attention is focused on the written performance evaluations required by the University during the probationary period of employment and periodically thereafter, such evaluations should be viewed not as discrete actions but as current records and action plans in a continuing review and development process.

Purposes

Under conditions of continuing review and regular interchange between supervisor and employee, what are the specific purposes of the formal performance evaluation? For both employee and supervisor, a primary aim is to confer systematically about the work to gain understanding, establish goals, and plan for the future. Specific aims of the performance evaluation discussion are as follows:

To learn the employee's view of the job and of any problems encountered in the work.

To let the employee know the supervisor's conception of the job and of how the employee is doing on specific assignments and overall;

To provide guidance and establish goals relating to the work and, as appropriate, to recommend specific actions to be taken to meet these goals;

When feasible, to discuss possible additional or different assignments in relation to department needs and the employee's demonstrated abilities and potential;

To provide the employee with an opportunity to discuss job prospects and career interests, training and educational needs and opportunities as related to work in the Library and at the University.

An important by-product is a record that presents an overview of the individual's work performance--ideally a record that is useful to the employee, to supervisors and administrators in planning and career development.

During the probationary period of employment, additional and important aims of performance evaluations are as follows:

To determine the employee's ability to handle the tasks and duties assigned to the position;

To identify areas in which there is need for additional training or background and to provide the employee with the opportunity to acquire that background or training;

To ascertain the employee's suitability for Library employment.

Although the purposes of performance evaluations are basically the same for all employees, there may be additional or differently formulated objectives when employees have been in the same position for a number of years. Objectives in such situations may include the following:

To review, reaffirm, or restate work objectives in terms of changing goals and priorities of the Library and the particular unit;

To consider possible need for updating or renewal of skills, abilities, knowledge, perspective;

To examine possible special assignments utilizing the employee's abilities, knowledge, experience.

Who

The employee's supervisor is responsible for reviewing the employee's work and conducting the performance evaluation interview. When an individual has more than one supervisor, all should participate in the evaluation of the work. The performance evaluation interview may be handled cooperatively by the immediate supervisors or singly by the supervisor with most immediate responsibility for the employee's work. Also, it is advisable for new supervisors and supervisors who have questions about standards, objectives, and methods for meeting objectives to discuss their evaluations of employees with the unit head or the department head prior to conducting the evaluation interviews.

When

During the probationary period, two written evaluations of the employee's work are required by the University (Staff Personnel Policy 250):

First evaluation not later than midpoint in the six-month probationary period;

Second evaluation not less than thirty calendar days prior to completion of the probationary period.

Regular and systematic review of the work with discussion between the supervisor and the employee is essential in the early months of employment. Usually it is helpful to the employee to be able to discuss with the supervisor the standards that apply to work products and services and to know in advance the expected sequence for introduction to the various aspects of the job.

An employee who satisfactorily completes the probationary period is accorded regular status. The position (or positions) that the employee holds may be designated career, casual, or casual/restricted. (See Staff Personnel Policy 110, Definitions).

The Probationary Period Report of Performance Evaluation (UPER 128 sent to the department head by the Library Personnel Office) is a summary record of the evaluations and action regarding the employee's status, which must be one of the following:

> Satisfactory completion of the probationary period and attainment of regular employee status;
>
> Less than satisfactory work during the probationary period and notice of release date;
>
> Extension of the probationary period for a specific period not exceeding three months. Such an extension is permissible only when job factors such as change of supervisor or transfer to a different position with quite different job duties make it desirable to defer decision about the individual's work performance.

The probationary period is automatically extended when it has been interrupted by illness, accident, or emergency resulting in the employee's absence from work more than one-half the working hours of a month.

After classification as a regular-status employee, written work performance evaluations occur at least once per year. Although such evaluations are mandatory, scheduling is at the discretion of the department. The Library Personnel Office notifies department heads of schedules for annual performance reviews. Supervisors, may, of course, conduct additional performance interviews when they deem it productive.

How - General Principals

Always schedule performance interviews in advance, arranging for privacy and an adequate, uninterrupted period of time.

Try to establish a climate conducive to honest discussion of the work and self-evaluation in regard to work performance. Throughout the interview, seek and emphasize ways in which the employee and the supervisor can work together to further department and individual work goals.

Evaluate employees on their ability to do the work assigned to them for the period covered by the evaluation. Mutual (supervisor/employee) understanding of job duties and of the standards that apply to performance of those duties is fundamental. Every employee should have a copy of his/her Job Description, which should clearly and accurately describe the duties assigned to the position.

Standards should be determined prior to evaluation and should be applicable to all employees at the same job-classification level and with the same amount of job experience in the particular work. When department goals and methods of work change, review the standards used for accord with goals and usefulness as measuring devices. Standards and goals relating to the work are usually more useful and acceptable when they are the product of joint deliberation among employees and supervisors. In relation to standards, it is useful to employees to know the effects of different kinds of errors, especially classes of error that have significant adverse work consequences.

Be honest. Level with the employee about the quality of the work performed. When the work is good, say so. Do not strain to find something wrong.

When some of the work is less than satisfactory, be very clear about what is wrong and what needs to be done to meet standards. Try to help the employee meet the standards by making certain that the employee understands and is able to use effective work methods and techniques and by establishing mutually agreed upon interim goals and course of action. Although the plan should be written out, it need not be part of the Performance Evaluation. Indeed, the plan may be more effective if it is simply a memorandum within the division.

The various tasks and functions that comprise a job must be kept in perspective. Focus in turn on each task or function, giving most attention to those that are essential and critically important in the work and taking care to evaluate performance on each task or function independently.

Do not generalize beyond the immediate work situation.

How - Planning

The supervisor should prepare for the performance evaluation interview and should encourage the employee to do likewise. The supervisor must decide what it is important to get across in the interview and the most effective ways of conducting the interview, including how to begin and how to end the interview.

Preparation by the employee should include self-evaluation, examination of work effectiveness, and reflection on immediate and long-term goals relating to the work.

After the evaluation is completed, both parties should appraise the interview, consciously utilizing the experience and the knowledge gained in future performance evaluation interviews.

How - Job Responsibilities

The first step is completion of the "Job Responsibilities" section of the Performance Evaluation form (UPER 128). Although this description is ultimately the responsibility of the supervisor, the Library prefers the employee to write the duties statement in preparation for the Performance Evaluation interview. When doing this for the first time in a particular job, the employee should give the supervisor the description in draft form. The supervisor must review the duties statement to make certain that all major and essential duties are included and that there is mutual understanding of the job duties. On this listing, group related duties together, use the active voice and short, clear phrases that briefly describe the job duties.

The Performance Evaluation description of duties is not used for job classification purposes.

How - Form Itself

Actual evaluations, comments, objectives, and plans are subject to modification in light of the discussion between the supervisor and the employee. For this reason, the evaluative sections of the form must be filled in during or immediately after the performance evaluation interview. Notes on and examples of things to be covered in the interview are perfectly acceptable methods of preparation for both supervisor and employee.

How - Rating Terms

Overall and for each task or group of related assignments, the supervisor must check the evaluative term that best describes the employee's performance. The terms on the Performance Evaluation form are as follows:

Satisfactory (the middle term): The employee meets the standards for good work.

More than Satisfactory: The employee frequently exceeds the standards either overall or in some important aspect of the work.

Superior: The employee regularly and substantially exceeds the standards for good work.

Improvement Needed: The employee's work is borderline; it does not quite meet the standards for good work, either overall or in some important aspect of the work.

Unsatisfactory: The employee's work falls substantially short of the standards for good work, either overall or in some important aspect of the work.

How - Comments and Objectives

Comments by the supervisor on particular assignments can give substance and meaning to the Performance Evaluation as follows:

Provide information (as opposed to making judgments) about the assignment or aspects of performance;

Clarify the particular rating through brief narrative comment--such comments will help to define work that is "satisfactory" as work that is "good" and will specify how work that is rated other than "satisfactory" exceeds or falls short of standards;

Clarify standards by restatement in relation to work performance on the particular assignment;

Provide information on aspects of work performance that require attention or greater concentration of effort;

Provide information on the strengths and abilities of the employee as shown in the particular assignment;

Identify and provide information on special projects or assignements not listed in the "job responsibilities" section that the employee handled during the period under review.

In this context objectives are short-term (until the next evaluation) goals relating to performance on the particular assignement, including such things as the following:

Introduction to additional parts of the work;

Assignment of more responsibility for the quality of the end product or service;

Development of background or skill in regard to some aspect of the work.

How - Overall Evaluation and Comments

Briefly state the reasons for the overall evaluation which should be based upon weighing (not averaging) or assessing the relative importance of the ratings on the various assignments. Summarize and place the various aspects of the evaluation in perspective. Mention work-related training and educational programs that the employee has been engaged in during the period of this evaluation.

How - Future Plans and Actions

Briefly describe any overall or general job development or performance improvement plans. If plans relating to specific assignments are not described in the column adjacent to the assignment listing and are not supplementary memoranda within the division, use this section to outline the plans and any time tables relating to the plans. All plans must be feasible and in accord with University and Library policies. The supervisor must be prepared to follow through on those parts of the plan that depend upon the supervisor's initiative or authority. Plans that are broader in scope than training for the position currently held must satisfy the requirements of Staff Personnel Policy 260, Employee Development. Consult with the Library In-Service Training Coordinator about training and staff development policies and opportunities.

How - Signatures

Signatures on the Performance Evaluation form certify the following:

Supervisor: This is my evaluation of the employee's work performance; the evaluation was discussed with the employee and completed on the date specified.

Department Head: I have reviewed this evaluation and accept it as the supervisor's appraisal of the employee's work performance for the period specified on the form.

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Employee: The supervisor discussed the various parts of this performance evaluation with me. I have been given the opportunity to review and to add my comments to the completed form.

How - Employee Comments

The employee may use this section to express reservations about the evaluation and to provide additional information regarding his/her handling of the job duties. This section may also be used for supplementary information about participation in educational and job training activities related to career goals. Employees who have misgivings about signing the evaluation in the signature space should not be urged to do so. Instead employees should state their objections and sign in the "Employee Comments" section of the form.

How - Filing Policies and Procedures

The original, signed and dated copy of the Performance Evaluation is sent to the Library Personnel Office. However, heads of public and technical service departments route the original copy of the Performance Evaluation to the appropriate Associate University Librarian who forwards it to the Library Personnel Office. Always enclose such mail in a sealed envelope marked CONFIDENTIAL. The Library Personnel Office sends each employee a copy of his/her Performance Evaluation before it is placed in the employee's personnel file. Supervisors and department heads who need to consult Performance Evaluations of staff members in the division (or formerly in the division) may do so in the Library Personnel Office.

In accord with University policy, Performance Evaluations are retained by the Library Personnel Office for a minimum of three years following the employee's termination, transfer to another University Department, or change to a position with a different title code and supervisor.

Follow-up

Be careful to follow-up on matters discussed, actions taken, plans made, and review dates established in Performance Evaluation interviews. The written Performance Evaluation is a juncture in a continuing review, evaluation, staff and organizational development process.

PERFORMANCE EVALUATION SAMPLE

Prepare in duplicate:
Original—Employing Dept. File
Copy —To the Employee

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Employee's Name	Department	Division	
Payroll Title & Code	Date Hired	Length of time in present job: Years / Mos	Period covered by this evaluation: FR / TO
Supervisor's Name	Supervisor's Payroll Title	Length of time you have supervised this employee: Years / Mos	

PERFORMANCE EVALUATION

Form CPER 121 R4.761 Series 1477
(with 3 years after separation)

CHECK ONE

Job Responsibilities for Period of Evaluation*	Comments and Objectives	Superior	More than Satisfactory	Satisfactory	Improvement Needed	Unsatisfactory
Help users locate and utilize materials and equipment available in the Center. Provide information and ready reference assistance. Refer and provide information to clientele on related materials elsewhere on campus and in media collections in other Bay Area libraries. Operate, schedule, and monitor use of equipment. Maintain statistics on use of materials and equipment. Maintain security of collection and equipment.						
Prepare informative displays illustrating Center resources and services.						
Clean, maintain, and repair equipment. Splice and add leader to films and tapes.						
Maintain order, in-process, and card catalog records. Cross check headings and interfile cards received from Cat. Dept. Enter and claim serial publications. Prepare serials and monographs for binding and mending. Update serial records.						
Catalog pamphlets and trade catalogs, determining entry and cross references. Weed superseded pamphlets and catalogs.						
Check bibliographic and trade information on software being considered for addition to the collection, utilizing Center, Main, and Library School Library source materials. Key order information on Datapoint 1700.						
Check quality of newly received software, approving invoice as appropriate and sending invoice to Acquisition Dept.						
Supervise an SLE who works 10 hours per week.						
Type card records, letters, reports, memoranda.						

* Each supervisor and member of the University Management Program who has direct responsibility for meeting established commitments to

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Overall Evaluation

Unsatisfactory	Improvement Needed	Satisfactory	More than Satisfactory	Superior
☐	☐	☐	☐	☐

Comments

Future Plans and Actions

Signature of Immediate Supervisor — Date

Department Head Signature — Date

Employee's Signature

Your signature indicates neither agreement nor disagreement with the evaluation, but it does indicate that you have read the evaluation, and it has been discussed with you. If you wish, you may comment in the space below.

Signature — Date

Employee Comments

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PERFORMANCE EVALUATION SAMPLE

Prepare in duplicate:
Original—Employing Dept. File
Copy —To the Employee 30

Employee's Name | Department | Period

Appointing Date | Date Hired | Length of time you have supervised this employee | Years | Mos | Is covered by this evaluation | TO

Classification Title | Salary Grade

PERFORMANCE EVALUATION

Form UPEA 1 (2) 76 Series 3477

CHECK ONE

Job Responsibilities for Period of Evaluation*	Comments and Objectives	Superior	More than Satisfactory	Satisfactory	Improvement Needed	Unsatisfactory
(1) Help users locate and utilize materials and equipment available in the Center. Provide information and ready reference assistance. Refer and provide information to clientele on related materials elsewhere on campus and in media collections in other Bay Area libraries. Operate, schedule, and monitor use of equipment. Maintain statistics on use of materials and equipment. Maintain security of collection and equipment.	(1) Helpful and courteous. Utilizes well the resources of the Center. Somewhat reluctant to refer inquiries to GRS and to other service units. Needs to know more about media resources in other campus units. Handles equipment and scheduling well.			X		
(2) Prepare informative displays illustrating Center resources and services.	(2) Displays have been very well done. A display on media materials available for study of ecology issues resulted in use of the Center by several additional academic departments and suggestions for additions to the collection.				X	
(3) Clean, maintain, and repair equipment. Splice and add leader to films and tapes.	(3) Very adept. Because of 's skill, there has been very little down time on equipment. Recognizes and acts promptly on repairs that must be handled by outside service agencies.				X	
(4) Maintain order, in-process, and card catalog records. Cross check headings and interfile cards received from Cat. Dept. Enter and claim serial publications. Prepare serials and monographs for binding and mending. Update serial records.	(4) Although generally satisfactory, has failed several times to claim needed pastdue serials. Should review cards (are only 75) once per month or establish some other review system.			X		
(5) Catalog pamphlets and trade catalogs, determining entry and cross references. Weed superseded pamphlets and catalogs.	(5) Consults when uncertain of entry. Weeding is limited to pamphlets and catalogs replaced by new or revised editions.			X		
(6) Check bibliographic and trade information on software being considered for addition to the collection, utilizing Center, Main, and Library School Library source materials. Key order information on Datapoint 1100.	(6) Has relatively limited experience in this area. Checks systematically, referring all problems to supervisor.			X		
(7) Check quality of newly received software, approving invoice as appropriate and sending invoice to Acquisition Dept.	(7) Checks new materials carefully and promptly. Reports problems directly to Processing Div. (Acq.)			X		
(8) Supervise an SLE who works 10 hours per week.	(8) Instructions and priorities are clear. Works well with SLE.			X		
(9) Type card records, letters, reports, memoranda.	(9) Good proofreader. Accurate at moderate typing speed.			X		

*Employee is a member of the University Management Program and has direct responsibility for meeting established commitments to

03:

PERFORMANCE EVALUATION SAMPLE

Overall Evaluation

Unsatisfactory	Improvement Needed	Satisfactory	More than Satisfactory	Superior
		X		

Comments

In all areas 's work is good. His maintenance and repair work on projectors and playback machines is especially good.

is currently enrolled in Librarianship 283, Non-Print Media in Libraries, at UC-B. This class should be helpful in bibliographic aspects of the work.

Future Plans and Actions

Next quarter arrangements will be made for to visit the Environmental Design, Music, Library School, and Morrison libraries. Visits to the Extension Media Center, the Language Laboratory, and the School of Education Media Laboratory will follow. Although visited these areas when first appointed, he would like to do so again. Because the Center has very little flexibility in staffing, visits will need to be scheduled over a six month period of time.

will work with the Library Exhibitions Committee on a Main Library showing of Berkeley campus media resources.

Signature of Immediate Supervisor Date

Department Head Signature Date

Employee's Signature

Your signature indicates neither agreement nor disagreement with the evaluation, but it does indicate that you have read the evaluation, and it has been discussed with you. If you wish, you may comment in the space below.

Signature Date

Employee Comments

I am studying Broadcast Communication Arts at San Francisco State University. I have been taking evening classes and have about 45 more units to complete for the B.A. degree.

It will be no problem for me to watch for and claim serials that do not reach us when expected. I thought that the Serials Dept. did this claiming as a matter of routine.

SOURCE MATERIALS

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110 Definitions, 1 July 1977 and 1 February 1978.
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255 Performance Evaluation, 13 August 1975 and 2 January 1973.
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The University of Nebraska-Lincoln Libraries

PERFORMANCE EVALUATION Part A
SUPERVISOR'S EVALUATION OF APPRAISEE

_____
Date

Name of Appraisee_____ Rank_____

Division_____

This evaluation form is to be used to review the past year's performance based on the appraisee's specific responsibilities as detailed in his/her job description. This form is to aid the supervisor in making an objective judgment of the librarian's performance. Following are the areas which are to be evaluated. Write a descriptive statement for each section. In your discussion include the characteristics listed for each. Specialist ability and administrative ability may not apply to all librarians. If so, state "not applicable." If the space allotted is insufficient, attach an extra sheet.

1. Professional qualities
   - Technical knowledge--familiarity with skills, tools, techniques of the job
   - Professional knowledge--keeps pace with professional developments
   - Relations with library public and/or staff--approachability, desire to assist
   - Understanding of library policies and procedures

2. Work performance
   - Organization of work--analyzes and systematizes both methods and time
   - Quantity of work--amount accomplished
   - Accuracy--freedom from mistakes
   - Thoroughness--perseverance, follows through to completion
   - Judgment--ability to make balanced decisions

3. Work attitudes
   - Initiative--ability to think creatively and effectively
   - Co-operativeness--ability to do team work
   - Adaptability--ability to accept other ideas and methods of work
   - Attitude toward instruction/criticism

4. Specialist ability--for those in specialist positions only
   - Technical knowledge in area of specialization
   - Ability to use special training and knowledge, skills and techniques

5. Administrative ability--for those in supervisory and administrative positions only
   - Fairness to subordinates
   - Ability to train
   - Judgment of personnel--analyzing and estimating abilities of staff
   - Leadership--ability to stimulate
   - Supervisory ability--overseeing and guiding accomplishment
   - Ability to communicate both orally and in written form

6. Evaluate the appraisee's overall performance. Comment on the librarian's strengths, areas needing improvement, how improvement can be accomplished, and potential for professional growth.

_____ _____
Evaluator's signature Date

7. Comments, if any, of the Appraisee.

_____ _____
Appraisee's signature Date

8. Reviewer's comments.

_____ _____
Reviewer's signature Date

EVALUATION OF LIBRARY FACULTY

I. Purposes

The Iowa State University Library is developing an evaluation program for many interrelated reasons. Ultimately it should serve to assist the improvement of each faculty member's performance and thereby to enhance the quality of Library service. The evaluation process should clarify for faculty members and their supervisors how well they are carrying out their respective responsibilities and what is expected of them in the future.

Specific purposes of the evaluation program are:

-- To assist faculty in improving work performance and thereby patron service.
-- To assist faculty in better understanding the importance of their roles.
-- To assist faculty in identifying personal career goals and in integrating these with the objectives of the Library.
-- To encourage individual initiative and imagination.
-- To assist faculty in continuing professional development.
-- To develop a framework within which performance can be appraised.
-- To provide faculty with performance evaluation on a regular and systematic basis.
-- To foster improved communications between supervisors and staff.
-- To document the quality of performance for use by the Promotion and Tenure Committee and as a major basis for merit salary increase recommendations.

II. Methodology

Frequency:

A formal evaluation of each faculty member who has been on the staff for a period of at least three months (as of December 31 of the year prior to the evaluation) will take place between March 1 through April 15 each year. All evaluations should be in the office of the Dean by April 15.

Formal evaluations of employees who begin duties between October 1 and March 31 should be held in the first month following the completion of six months of service.

Evaluations more than six months old should be updated by a new formal evaluation whenever faculty resign or change positions. Whenever there is a change in supervisors, the departing supervisor should update all evaluations over six months old.

Formal evaluations represent only the written aspect of the evaluation program for which supervisors and faculty are responsible. In addition, a continual, regular dialogue between supervisor and faculty member should be maintained throughout the year. The formal evaluation should contain no surprises as to judgment on performance but rather should serve to document what is already known. In cases of deficient performance, formal written evaluations should be completed as often as circumstances warrant.

Responsibility:

Performance evaluation is an administrative responsibility normally carried out by a faculty member's immediate supervisor. However, the evaluation process may include comments from both colleagues and subordinates and others with whom a faculty member interrelates. Furthermore, a major responsibility in the evaluation process rests upon the person evaluated. The faculty member should be a major source of factual information in areas such as continuing education, professional involvement, etc.

Preparation:

General success of the evaluation process is dependent upon the adequacy of preparation for it. Perhaps nothing is so important as a spirit of mutually frank and constructive criticism. There should also be an understanding of the purpose of evaluation and the process to be used.

Preparation for evaluation should include a thorough discussion of the program by all Library faculty, specific training sessions for supervisors, and follow-up sessions for all to discuss the quality of the evaluation program and make necessary changes in it.

Each person should have a current statement of "primary faculty responsibility" which should be agreed upon by the supervisor and the employee. Revisions can be made at any time.

The evaluation should be based upon ones primary faculty assignment and any supplementary statement of plans or goals that may be utilized. Evaluation criteria have been developed to help the faculty member and the supervisor limit the evaluation to factors relevant to position effectiveness. Comment on personality, behavior, and similar matters are appropriate only when they relate to job performance. Greater emphasis should be given to performance of ones primary faculty responsibility than to other faculty activities in the evaluation process.

The Process:

By March 1 of each year each faculty member should have completed a statement of accomplishments which will include a report of significant activities in one primary assignment, a statement of individual future plans and goals, and a report of professional, scholarly and services activities.

Between March 1 and April 15, supervisors should complete an evaluation of faculty who report to them. This evaluation should be based on the faculty member's "statement of accomplishments" and made in consultation with the appropriate department head, assistant director, or the Dean.

The faculty member should be given the evaluation at least 48 hours prior to the scheduled evaluation meeting.

The evaluation meeting should be used to discuss all aspects of the faculty member's performance, and differences of opinion concerning the written evaluation provided to the faculty member should be resolved. The faculty member should also comment on the supervisor's performance and other factors that affect the faculty member's own performance.

Individual plans and goals are developed as a joint responsibility of the faculty member and the supervisor. Whereas the faculty member is asked to provide a draft statement, clear guidance should be provided by the supervisor in order to ensure that goals and plans are realistic and consistent with overall Library objectives. Necessary changes in the goals statement should be made during the evaluation meeting or as soon thereafter as possible.

If no changes need to be made in the evaluation document prepared by the supervisor, both the supervisor and the faculty member sign two copies of the statement. If the evaluation draft requires changes, revision should be made immediately, within 24 hours if at all possible, and then the two copies signed. Regardless of whether the evaluation is changed, a faculty member may have up to three working days to consider the final draft of the evaluation statement, prepare a statement of disagreement or clarification which will be attached to the evaluation statement, and sign the documents.

Signature of the evaluation statement by the faculty member evaluated is an acknowledgement that the evaluation statement has been received and discussed; it does not imply that the faculty member agrees with the document.

Once the two copies of the final evaluation statement are signed, they are forwarded to the next administrative review level. Both signed copies are returned, one to the faculty member evaluated, and one forwarded to the Dean's Office for inclusion in the faculty member's permanent file.

Access to Evaluation Statements:

Annual evaluations are retained as part of a faculty member's permanent file. Access to the file is restricted to the Dean of Library Services, the assistant directors, the faculty member's department head, and any other immediate supervisor, the faculty member, and the Library's Promotion and Tenure Committee in those years when the faculty member is to be a candidate for tenure or elects to be considered for promotion. Although the evaluations in a faculty member's permanent file may be used as a source of information for writing letters of recommendation, they are not to be copied and distributed in lieu of such letters.

Confidentiality:

The supervisor conducting the evaluation and all those who may have access to the final written evaluation shall hold all information and materials concerning the faculty member as confidential. Infringements upon this policy should be immediately reported to the Dean of Library Services.

IOWA STATE UNIVERSITY LIBRARY
PERFORMANCE EVALUATION

NAME _____ SUPERVISOR _____

RANK _____ (Information contained in this form will be used in promotion, tenure and merit considerations)

TENURE DATE _____

APPT. RENEWAL DATE _____

PART I

Annual Statement of Accomplishments
(To be completed by the faculty member and given to his/her supervisor by March 1st)

A. Primary Faculty Assignment

(Please report your activities in the area of your primary faculty assignment making note of new developments, special projects, or creative advances for which you have been responsible)

B. Scholarship and Professional Activities

(Please report below a list of your publications, research planned or in progress, classes, workshops attended, and membership and activity in professional organizations)

C. Services

(Please report below your activities which contribute to the mission of the Library or the University. These should include participation on Library, College, and/or University committees or task forces and service to community, state, or national levels which contribute to the mission of the University)

IOWA STATE UNIVERSITY LIBRARY
PERFORMANCE EVALUATION

NAME _____ SUPERVISOR _____

RANK _____ (Information contained in this form will be used in promotion, tenure, and merit considerations)

TENURE DATE _____

APPT. RENEWAL DATE _____

PART II

(To be completed by both the faculty member and supervisor by March 1)

A. Statement of Primary Faculty Assignment

B. Statement of Individual Goals and Plans
(The following statement may cover areas such as primary faculty responsibility, scholarship, and service)

IOWA STATE UNIVERSITY LIBRARY
PERFORMANCE EVALUATION

NAME _____ SUPERVISOR _____

RANK _____ (Information contained in this form will be used in promotion, tenure, and merit considerations)

TENURE DATE _____

APPT. RENEWAL DATE _____

PART III

Performance Evaluation
(To be completed by the supervisor by April 15)

A. Performance of Primary Faculty Assignment

(Comments should be related to: the quality and quantity of work; ability to organize work activity and use time efficiently; thoroughness; sense of responsibility in all major areas of work assignment; ability to perceive problems and concerns and initiate creative solutions; application of professional knowledge to practical service concerns; self-motivation and independence; judgment; flexibility in adapting to change in order to improve service; acceptance of and response to criticism as well as the ability to give constructive criticism to colleagues, superiors, and subordinates; ability to communicate and relate to students, faculty and colleagues; ability to support the overall goals of the Library. For faculty members in supervisory roles, comment on: leadership; ability to organize general work flow and special projects; train; give clear instructions; communicate with staff; motivate performance; delegate authority; handle problem situations; provide impartial treatment of staff; and evaluate personnel)

BEST COPY AVAILABLE

B. Scholarship and Professional Activities

(Assess the faculty member's overall understanding of Library policies, procedures, and goals. Comment on the faculty member's technical and professional knowledge and efforts to remain current in area of specialization and overall professional concerns [e.g., continuing education and participation in local, regional, and national professional activities such as conferences and workshops]. Evaluate research, publication, or other scholarly activities such as the production of Library guides or technical studies)

C. Services

(Comment on participation in general Library and University activities and willingness to assist colleagues in areas of the Library other than ones own. As appropriate, indicate service to the non-university community)

D. Faculty Development and Advancement

(Note the main strengths and weaknesses in overall performance and assess prospects for advancement as they relate to both Library and University criteria for promotion and tenure. For areas needing improvement, suggest how improvements might be accomplished. Comment on the faculty member's potential for career advancement and specify improvements and additional achievements which would be important in obtaining promotions, tenure, merit increases, and appointment renewals)

Signature-Supervisor

Signature-Faculty Member

BEST COPY AVAILABLE

IOWA STATE UNIVERSITY LIBRARY
PERFORMANCE EVALUATION

NAME _____ SUPERVISOR _____

RANK _____ (Information contained in this form will be used in promotion, tenure, and merit considerations)

TENURE DATE _____

APPT RENEWAL DATE _____

PART IV
Comments by the Faculty Member

BEST COPY AVAILABLE

November 10, 1977

UNIVERSITY OF CHICAGO LIBRARY

GUIDELINES FOR PERFORMANCE EVALUATION OF PROFESSIONAL EMPLOYEES

1. Purposes: Performance evaluation will be used for the following:

   A. To provide an opportunity to identify the employee's strengths and weaknesses and thereby help improve individual performance.

   B. To provide a basis for decisions on job security, salary increases, and promotion.

   C. To reinforce mutual awareness between supervisor and employee regarding performance expectations, job requirements and priorities.

   D. To provide an opportunity to identify real or apparent conflicts between the employee and the organization for the purpose of resolving those conflicts.

   E. To facilitate organizational planning by assisting the supervisor in the assessments of strengths and weaknesses of the organizational unit, and to identify training needs.

   F. To provide a personal reference history for use within the Library only.

2. Evaluation Criteria: The criteria to be considered in conducting performance evaluations are:

   A. Professional Knowledge and Skill - utilization of basic principles and techniques of librarianship; demonstrated familiarity with technical innovations and subject specialities; development of new skills to enhance job performance. (Attendance at meetings and participation in professional associations as well as publishing should be mentioned when directly reflected in the employee's performance.)

   B. Quality of Work - consistency of performance; application of knowledge and skills; accuracy; thoroughness.

   C. Quantity of Work - organization of work; efficiency; amount of work accomplished.

D. Judgment and Decision Making - demonstration of initiative; performance of job without close supervision; perception of problems; assignment of priorities; skill in analyzing problems and in reaching sound conclusions; demonstrated awareness of the implications of decisions made.

E. Adaptability - responsiveness to changing conditions (extent to which responses are objective and constructive).

F. Work Relationships - effectiveness in gaining the respect and confidence of others; tact in dealing with public (if applicable) and co-workers; responsiveness to requests and questions of colleagues.

G. Supervision - (If applicable) - delegation of authority; motivation, guidance and development of subordinates; evaluation of staff; planning; organization and coordination of assigned work unit; receptivity to subordinates' suggestions, problems, complaints.

H. Reliability - adherence to deadlines; maintenance of normal work schedule.

3. Overall Evaluation: The supervisor shall indicate which of the following statements best describes the employee's overall performance.

- Performs consistently well. Above average competency in the skills and knowledge required by the position and, in addition, has contributed to the solution of important problems.

- Performs consistently well. Above average competency in the skills and knowledge required by the position.

- Competent and good performer who fulfills the job requirements and is suited to the work.

- Possesses the basic requirements for the present position but falls short of satisfactory and consistent performance at this time.

- Performs inconsistently and is generally ineffective for this type of work.

4. *Evaluation Schedule and Forms: The supervisor will complete either the COMPREHENSIVE PERFORMANCE EVALUATION FORM or SUMMARY PERFORMANCE EVALUATION FORM as suggested by the schedule below:

Years of Completed Service	Type of Form
1	COMPREHENSIVE
2	COMPREHENSIVE
3	COMPREHENSIVE
4	SUMMARY
5	SUMMARY
6	COMPREHENSIVE

Comprehensive evaluations are required at the end of each of the first three years of service and at the end of each subsequent three year period of service, that is, at the end of years 6, 9, 12, etc. Comprehensive evaluations may also be conducted, instead of summary evaluations, at the end of years 4, 5, 7, 8, 10, 11, etc., upon the request of the employee or at the discretion of the supervisor.

An employee who is to be promoted, demoted, or transferred shall be evaluated by his/her supervisor prior to moving to his/her new position. Normally, in such cases, the SUMMARY PERFORMANCE EVALUATION FORM will be used unless either the supervisor or the employee prefers use of the COMPREHENSIVE PERFORMANCE EVALUATION FORM. Employees shall receive a comprehensive evaluation one year from the date of moving to the new position.

*Written performance evaluations are required in accordance with the above schedule; however, written evaluations (comprehensive or summary) may also be prepared at unscheduled times, upon request of the employee or at the discretion of the supervisor. The same procedures would apply for unscheduled evaluations as do for scheduled evaluations.

5. Responsibilities of Participants:

A. Immediate supervisors shall:

1. Establish an understanding with each subordinate regarding the job requirements, expectations, and Evaluation Criteria.

2. Consult, as appropriate, with persons at higher supervisory levels in preparing the evaluation.

3. Consider, as appropriate, comments made during the evaluation period by faculty, colleagues of the employee, students and other Library clients and staff regarding the performance of the employee. The supervisor should evaluate these comments, and make them and the source known to the employee upon request.

4. Utilize constructively the Evaluation Criteria in order to fairly assess employees' performance.

5. Complete the required evaluation form.

6. Discuss the evaluation with employees in a manner consistent with the stated purposes, and provide employees with copies of the completed evaluation forms.

7. Cooperate in any appeal investigations which may be initiated by employees.

B. Department Heads (if not the immediate supervisor) shall:

1. Examine the completed evaluation forms of all the employees within their departments for consistency in the application of evaluation criteria.

C. Employees shall:

1. Request clarification from their supervisors regarding job requirements and expectations which are not clearly understood.

2. Inform their supervisors of any facts or circumstances which should be taken into account in evaluating their performance.

3. Cooperate in the evaluation process so that it is constructive and accomplishes its purpose.

4. Request discussion of performance evaluations if not initiated by supervisors.

5. Sign the Evaluation Forms to certify that they have been seen and discussed.

6. Prepare written statements of objections if they wish to appeal an evaluation and cooperate in any subsequent investigations of such objections.

D. The Library Personnel Office shall:

1. Receive, monitor for consistency, and maintain on file the original copy of the signed performance evaluation forms (copies may also be kept by the supervisor and by the employee).

6. Appeals Committee: The Appeals Committee will act as a vehicle for receiving and investigating written petitions alleging specific instances of misinterpretation of evidence, prejudice, and misapplication of rules or policies in evaluating performance.

A. Committee Membership:

1. The Appeals Committee will consist of five members and two alternate members.

2. The Library Personnel Officer will serve as a permanent member of the Committee; the four other members and the two alternate members will be appointed from the professional staff by the Director of the Library.

3. Normally the term of Appeal Committee members will be two years. Of the first Appeals Committee two members will be appointed for two year terms and two for one year terms. After the first year, annual appointments will be made of two members to serve two year terms. Alternate members will be appointed annually.

4. The Appeals Committee will select its own chairperson.

5. To be eligible to serve on the Committee a person must have served on the professional staff of the University of Chicago Library for at least three years. Any staff member not wishing to serve on the Committee may strike his/her name from an eligibility list which will be maintained by the Library Personnel Officer.

6. A Committee member may be disqualified to investigate a specific appeal petition. Bases for disqualification are:

(a) Cases in which the appellant or the appellant's immediate supervisor requests that a member be disqualified. (Both the appellant and the appellant's immediate supervisor may disqualify one member each.)

(b) Cases in which a Committee member brings the petition.

(c) Cases in which a Committee member has been directly involved in the performance evaluation in question.

(d) Cases in which a Committee member disqualifies himself for personal reasons.

B. Appeals Procedure:

1. The parties involved should make every effort to resolve their differences before a petition is filed with the Appeals Committee.

2. Petitions, accompained by supporting documents, are made in writing to the Appeals Committee within two weeks of the date of the Performance Evaluation. The Committee may refuse to review a case in the absence of proper or adequate evidence to support the appeal petition.

3. The Committee examines the pertinent documents, may interview interested or informed parties to the case and — in short — conduct whatever investigation of the complaint is required to reach a decision.

4. The Committee makes every effort to reach a decision within three weeks' time, and submits a written report to the Director of the Library recommending an Overall Evaluation category (see #3 p. 2 above) and stating the reasons therefore.

5. The Director who has final authority in all cases* transmits his decision to the Committee within ten days after receiving the Committee's recommendations.

*Exception: in cases when the appellant is in direct supervisory relationship with the Director and the Appeals Committee and the Director cannot agree on the final disposition of the appeal, either the appellant or the Director may ask the Provost of the University to appoint an ad hoc faculty committee to resolve the impasse.

7. Relationship of Performance Evaluation to Salary Increases: Salary increases will be granted on the basis of performance as indicated by the employee's Overall Evaluation. The Director of the Library will announce the salary increase range for each of the five Overall Evaluation categories annually after performance evaluations have been conducted. The increase range will, of course, depend on the availability of funds and the Library budget.

EMPLOYEE NAME: _____ DATE: _____

DIVISION: _____ POSITION: _____

DEPARTMENT: _____

THE UNIVERSITY OF CHICAGO LIBRARY

PROFESSIONAL
COMPREHENSIVE PERFORMANCE
EVALUATION FORM

Immediate Supervisors:

The FACTOR EVALUATION indicated in Part I of this form should be consistent with the OVERALL EVALUATION (Part II) and SUMMARY STATEMENT (Part III).

PART I - FACTOR EVALUATION

Check the area on the scale that best describes the employee's performance respecting each factor. Comments must substantiate the evaluation.

PROFESSIONAL KNOWLEDGE AND SKILLS — Utilization of basic principles and techniques of librarianship; demonstrated familiarity with technical innovations and subject specialities; development of new skills to enhance job performance. (Attendance at meetings and participation in professional associations as well as publications should be mentioned when directly reflected in the employee's performance.)

unsatisfactory	needs improvement	satisfactory	very good	outstanding

Comments:

QUALITY OF WORK — Consistency of performance; application of knowledge and skills; accuracy; thoroughness.

unsatisfactory	needs improvement	satisfactory	very good	outstanding

Comments:

QUANTITY OF WORK Organization of work; efficiency; amount of work accomplished.

unsatisfactory	needs improvement	satisfactory	very good	outstanding

Comments:

JUDGMENT & DECISION-MAKING Demonstration of initiative; performance of job without close supervision; perception of problems; assignment of priorities; skill in analyzing problems and in reaching sound conclusions; demonstrated awareness of the implications of decisions made.

unsatisfactory	needs improvement	satisfactory	very good	outstanding

Comments:

ADAPTABILITY Responsiveness to changing conditions (extent to which responses are objective and constructive).

unsatisfactory	needs improvement	satisfactory	very good	outstanding

Comments:

WORK RELATIONSHIPS Effectiveness in gaining the respect and confidence of others; tact in dealing with public (if applicable) and co-workers; responsiveness to requests and questions of colleagues.

unsatisfactory	needs improvement	satisfactory	very good	outstanding

Comments:

SUPERVISION (if applicable) Delegation of authority; motivation, guidance and development of subordinates; evaluation of staff; planning, organization and coordination of assigned work unit; receptivity to subordinates' suggestions, problems, complaints.

unsatisfactory	needs improvement	satisfactory	very good	outstanding

Comments:

RELIABILITY Adherence to deadlines; maintenance of normal work schedule.

unacceptable	acceptable

Comments:

PART II - OVERALL EVALUATION

Indicate which of the following statements best describes the employee's overall performance:

☐ Performs consistently well. Above average competency in the skills and knowledge required by the position and, in addition, has contributed to the solution of important problems.

☐ Performs consistently well. Above average competency in the skills and knowledge required by the position.

☐ Competent and good performer who fulfills the job requirements and is suited to the work.

☐ Possesses the basic requirements for the present position but falls short of satisfactory and consistent performance at this time.

☐ Performs inconsistently and is generally an ineffective employee for this type of work.

PART III - SUMMARY STATEMENT

Provide a summary statement of the performance strengths and weaknesses of the employee and indicate what should be emphasized during the next review period in order to enhance performance. Also indicate which evaluation factor(s) you consider to be especially important in relation to the job responsibilities of this employee. (Append additional sheet(s) if necessary.)

TO BE COMPLETED BY THE SUPERVISOR PREPARING THIS EVALUATION:

Please indicate whether you have discussed this employee's performance during the evaluation period with any of the following: ☐ Faculty ☐ Colleagues ☐ Students ☐ Other Library Clients ☐ Other Library Staff.

I have discussed this evaluation with the employee concerned.

SIGNATURE OF IMMEDIATE SUPERVISOR:_____

POSITION:_____ DATE:_____

TO BE COMPLETED BY THE EMPLOYEE BEING EVALUATED:

I have read this evaluation of my performance and have reviewed it with my supervisor.

SIGNATURE OF EMPLOYEE:_____ DATE:_____

EMPLOYEE'S COMMENTS: (Optional)

TO BE COMPLETED BY THE DEPARTMENT HEAD (if the department head is not the immediate supervisor);

I have read this evaluation.

SIGNATURE OF DEPARTMENT HEAD:_____ DATE:_____

DATE: _____

POSITION: _____

DEPARTMENT: _____

EMPLOYEE NAME: _____

DIVISION: _____

THE UNIVERSITY OF CHICAGO LIBRARY

PROFESSIONAL
SUMMARY PERFORMANCE EVALUATION FORM

OVERALL EVALUATION

Indicate which of the following statements best describes the employee's overall performance:

☐ Performs consistently well. Above average competency in the skills and knowledge required by the position and, in addition, has contributed to the solution of important problems.

☐ Performs consistently well. Above average competency in the skills and knowledge required by the position.

☐ Competent and good performer who fulfills the job requirements and is suited to the work.

☐ Possesses the basic requirements for the present position but falls short of satisfactory and consistent performance at this time.

☐ Performs inconsistently and is generally an ineffective employee for this type of work.

SUMMARY STATEMENT

Provide a statement of the performance strengths and weaknesses of the employee and indicate what should be emphasized during the next review period in order to enhance performance. Also indicate which evaluation factor(s) you consider to be especially important in relationship to the job responsibilities of this employee. (Append additional sheet(s) if necessary.)

TO BE COMPLETED BY THE SUPERVISOR PREPARING THIS EVALUATION:

Please indicate whether you have discussed this employee's performance during the evaluation period with any of the following: ☐ Faculty ☐ Colleagues ☐ Students ☐ Other Library Clients ☐ Other Library Staff.

I have discussed this evalvation with the employee concerned.

SIGNATURE OF IMMEDIATE SUPERVISOR: _____

POSITION: _____ DATE: _____

TO BE COMPLETED BY THE EMPLOYEE BEING EVALUATED:

I have read this evaluation of my performance and have reviewed it with my supervisor.

SIGNATURE OF EMPLOYEE: _____

EMPLOYEE'S COMMENTS:

TO BE COMPLETED BY THE DEPARTMENT HEAD (if the department head is not the immediate supervisor):

I have read this evaluation.

SIGNATURE OF DEPARTMENT HEAD: _____ DATE: _____

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EVALUATION OF SUPERVISORS

THE UNIVERSITY OF TEXAS AT AUSTIN
THE GENERAL LIBRARIES
AUSTIN, TEXAS 78712

April 18, 1979

TO:

FROM: Staff Development Committee

SUBJECT: Annual Supervisor Evaluation

As part of the Annual Supervisor Evaluation you are eligible to rate _____, using the attached Supervisor Evaluation Questionnaire and Answer Sheet. If you wish to participate, the Answer Sheet must be completed and deposited in Campus Mail by April 24, 1979--a pre-addressed envelope is enclosed, addressed to: Measurement and Evaluation Center, BWY 209, Attention Dr. Susan Hereford. Send the Answer Sheet only; do not include the Questionnaire.

The following materials are attached:

1. Letter of Explanation
2. Supervisor Evaluation Questionnaire
3. Supervisor Evaluation Answer Sheet
4. Pre-addressed Campus Mail envelope for returning the Answer Sheet.

LETTER OF EXPLANATION TO
ACCOMPANY THE SUPERVISOR EVALUATION QUESTIONNAIRE

PURPOSE

The Supervisor Evaluation is conducted annually by The General Libraries in order to:

1. encourage individual self-development by those in supervisory positions, and

2. provide each General Libraries staff member an opportunity to express an opinion on his/her supervisor.

ELIGIBILITY

Any employee (hourly, classified, professional) on the unit payroll for at least 12 weeks prior to April 24, 1979, is eligible to participate. Participation in the Supervisor Evaluation program, on a voluntary basis, is encouraged.

WHO IS TO BE RATED

Each eligible employee who chooses to participate must rate the supervisor who performs the employee's performance evaluation. If an employee has more than one immediate supervisor, the department head will designate the primary immediate supervisor. An employee who transferred or was promoted from another General Libraries position since October 17, 1978, will be allowed to evaluate his/her past supervisor, as well as the current supervisor (if the 12-week condition is met).

COMPILATION AND DISTRIBUTION OF RATINGS

Ratings of individual supervisors are intended only for the use of the supervisor being rated. The use of code numbers to represent supervisors, as well as the use of a committee to help compile and distribute ratings, are meant to help insure that only the person rated knows how he or she was rated.

When all Answer Sheets have been collected at the Measurement and Evaluation Center, four members of the Staff Development Commiteee (Brenda Pina, Susan Russell, Martin Smith, Catherine Wentworth) will collect the answer sheets, separate the comments from the coded results, and have the coded results for each supervisor tabulated on the computer. As soon as possible, the committee will forward to each supervisor a tabulated summary of the coded responses made about him or her, along with any written or typewritten comments made about him or her. Responses to items 1-45 will be destroyed when the results have been sent to the supervisor.

The supervisor is free to make whatever use he or she chooses of the results. Tabulated responses and comments about individual supervisors are for the supervisor's use only, and will not be available for consultation by higher administrative

personnel or by the Personnel Committee. The Supervisor Evaluation process was implemented in The General Libraries with the feeling that non-documented, anonymous ratings should not be considered in personnel evaluations, and should not become a part of the supervisor's personnel file.

For the information of the staff of The General Libraries, a summary of the overall results of the Supervisor Evaluation will be printed in the Library Bulletin. Written comments will not be published.

RECOMMENDATIONS FOR FUTURE IMPROVEMENT OF THE SUPERVISOR EVALUATION PROCESS

Any suggestions for change or improvement in the Supervisor Evaluation process should be directed to Keith Russell, PCL 3.200; suggestions should preferably be in writing.

THE UNIVERSITY OF TEXAS AT AUSTIN

THE GENERAL LIBRARIES

SUPERVISOR EVALUATION QUESTIONNAIRE

INSTRUCTIONS:

The Supervisor Evaluation consists of four parts: A. General Information; B. Supervisor Characteristics; C. Questions about the Supervisor Evaluation; and D. Additional Comments. All of your responses must be indicated on the attached Answer Sheet; for Parts A, B, and C indicate your responses by circling the number representing your response, while in Part D you may make any comments you wish.

Part A. General Information. Information from these two items is used to gather summary data from the overall evaluation process. These two items have already been coded on your Answer Sheet.

1. Supervisor's Status

   1. Classified
   2. Professional librarian except for department head, division head, and administration
   3. Department head, division head, or administration

2. Rater's status

   1. Hourly employee
   2. Classified employee
   3. Professional librarian

Part B. Supervisor Characteristics. Items 3-42 describe desirable supervisor characteristics; decide how well you think your supervisor performs on each item, using the following scale:

1 = Outstanding
2 = Very good
3 = Good
4 = Improvement needed
5 = Unacceptable
6 = No opinion
7 = Not applicable

3. Keeps you informed on matters affecting you and your work

4. Maintains good working relations with other departments

5. Gives clear work assignments and adequate instructions

6. Gives proper and generous recognition to others for their contributions

7. Is receptive to new ideas and suggestions

8. Is readily accessible when you need to see him/her

9. Makes you feel free to ask questions and express ideas

10. Represents staff to higher management

11. Makes you feel you are working with, rather than for, him/her

12. Is fair and impartial in dealing with employees

13. Has a basic understanding of individual workloads

14. Does not arbitrarily or without sufficient explanation change assignments or routines

15. Provides regular, frequent feedback on your progress

16. Gives you guidelines on how you will be evaluated

17. Makes clear his/her expectations of you and your work

18. Lets you know when you have done a good job

19. Is aware of unit operations

20. Properly delegates authority

21. Clearly defines lines of authority

22. Is able to give you competent technical help

23. Is skilled in those specialties demanded by his/her assignment

24. Motivates workers to do their best

25. Provides a relaxed yet efficient work area atmosphere

26. Is alert to potential problems within the unit

27. Encourages initiative and innovation

28. Strives to help those under his/her supervision develop their full potential

29. Sees that new employees receive thorough training and orientation

30. Encourages staff development activities

31. Develops and improves his/her supervisory skills

32. Plans, paces and organizes the work of the unit

33. Approaches problem solving in a systematic fashion

34. Gathers related information and facts before acting on a problem

35. Consults with persons involved before making changes

36. Is tactful and considerate in dealing with employees

37. Is punctual

38. Understands the library/university well enough to refer matters to the proper offices/persons for effective action

39. Contributes to good morale within the unit

40. Acknowledges his/her own limitations and mistakes

41. Is enthusiastic about library work

42. Makes efficient/effective use of his/her work time

Part C. Questions about the Supervisor Evaluation. Please answer items 43-45 to help the Supervisor Evaluation Committee monitor staff opinions about the evaluation.

43. Do you feel the Supervisor Evaluation is beneficial?

1 = Yes

2 = No

44. Do you feel that written comments are useful?

1 = Yes

2 = No

45. Are you satisfied with the Supervisor Evaluation process?

1 = Yes

2 = No

Part D. Additional Comments. You may, if you wish, write or type any additional comments about the supervisor being evaluated in the "Comments" section on the front of the Answer Sheet. The Comments section will be forwarded to the supervisor being evaluated; to help insure confidentiality, you may want to type your comments.

THE UNIVERSITY OF TEXAS AT AUSTIN--THE GENERAL LIBRARIES--SUPERVISOR EVALUATION ANSWER SHEET

Instructions: Indicate your responses to items 1-45 (on the Supervisor Evaluation Questionnaire) by circling the response of your choice below. Circle only one response per item. If you change an answer, be sure to erase your first circle completely.

In the comments section, write or type only on the fron of the sheet. If you need more space attach a second sheet of paper.

Supervisor's code _____

ITEM	RESPONSE	ITEM	RESPONSE
1.	1 2 3 4 5 6 7	24.	1 2 3 4 5 6 7
2.	1 2 3 4 5 6 7	25.	1 2 3 4 5 6 7
3.	1 2 3 4 5 6 7	26.	1 2 3 4 5 6 7
4.	1 2 3 4 5 6 7	27.	1 2 3 4 5 6 7
5.	1 2 3 4 5 6 7	28.	1 2 3 4 5 6 7
6.	1 2 3 4 5 6 7	29.	1 2 3 4 5 6 7
7.	1 2 3 4 5 6 7	30.	1 2 3 4 5 6 7
8.	1 2 3 4 5 6 7	31.	1 2 3 4 5 6 7
9.	1 2 3 4 5 6 7	32.	1 2 3 4 5 6 7
10.	1 2 3 4 5 6 7	33.	1 2 3 4 5 6 7
11.	1 2 3 4 5 6 7	34.	1 2 3 4 5 6 7
12.	1 2 3 4 5 6 7	35.	1 2 3 4 5 6 7
13.	1 2 3 4 5 6 7	36.	1 2 3 4 5 6 7
14.	1 2 3 4 5 6 7	37.	1 2 3 4 5 6 7
15.	1 2 3 4 5 6 7	38.	1 2 3 4 5 6 7
16.	1 2 3 4 5 6 7	39.	1 2 3 4 5 6 7
17.	1 2 3 4 5 6 7	40.	1 2 3 4 5 6 7
18.	1 2 3 4 5 6 7	41.	1 2 3 4 5 6 7
19.	1 2 3 4 5 6 7	42.	1 2 3 4 5 6 7
20.	1 2 3 4 5 6 7	43.	1 2 3 4 5 6 7
21.	1 2 3 4 5 6 7	44.	1 2 3 4 5 6 7
22.	1 2 3 4 5 6 7	45.	1 2 3 4 5 6 7
23.	1 2 3 4 5 6 7		

Supervisor's name _____

code _____

COMMENTS

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The University of Nebraska-Lincoln Libraries

PERFORMANCE EVALUATION
APPRAISEE'S EVALUATION OF SUPERVISOR

Part B

_____
Date

Name of Supervisor_____ Rank_____

Division_____

This evaluation form is to be used by the appraisee to evaluate his/her immediate supervisor. This evaluation is to be used by the supervisor's supervisor in determining what ways the supervisor can become a more effective supervisor and what problems, if any, exist.

1. Write a descriptive paragraph evaluating your supervisor. In your discussion include the following traits. (Attach extra sheets if necessary.)

Fairness to subordinates
Ability to train
Judgment of personnel--analyzing and estimating abilities
Supervisory ability--overseeing and guiding accomplishment
Leadership--ability to stimulate
Thoroughness--perseverance, follows through to completion
Communication--ability and willingness to communicate both orally and in written form

2. If you feel that administrative policies and directives have affected your job and/or your performance and/or your supervisor's ability, write a descriptive paragraph discussing the circumstances as they affected you.

_____ _____

Signature of Appraisee Date

PERFORMANCE REVIEW

UNIVERSITY OF KENTUCKY

March 6, 1974

MEMORANDUM:

TO: Support Staff

FROM: Paul Willis Paul Willis

SUBJECT: Supervisory Personnel Evaluation Form

I have attached copies of the supervisory personnel evaluation form for you to complete if you wish. The major parts of the form were developed by the Professional Evaluation Review Committee. The procedures to be followed in completing the form are outlined below.

I have supplied the names of the individual supervisors to be evaluated by you. If you have any questions concerning any of the procedures please feel free to discuss them with your supervisor or with me. You may sign the form if you desire. If you prefer to remain anonymous put your name on a 3 x 5 card and attach it to the form. In this way all names will come to me, but I will not disclose names on cards to the supervisors when the results are passed on to them. On the form evaluating my performance you may remain anonymous if you prefer, and a card need not be attached.

I will collect the forms in the old Rare Book Room-South King Room 504 on Wednesday, March 13 at 8:30 a.m. for staff names beginning A-M; 9:30 a.m. for N-Z.

Thank you very much for your cooperation.

UNIVERSITY OF KENTUCKY LIBRARIES

SUPERVISORY PERSONNEL EVALUATION FORM

Name of Person Being Evaluated: _____
Date Form Completed _____

S E C T I O N "A"

I. Communication

Do you feel that your supervisor has the ability to explain what he wants? Does he express himself clearly and accurately? Is he pleasant, courteous, informative and cooperative with both his staff and patrons?

(1) Marginal
(2) Satisfactory
(3) Satisfactory and sometimes above satisfactory
(4) Consistently above satisfactory
(5) Above satisfactory and sometimes exceptional
(6) Exceptional

Comments: _____

_____

_____

_____

_____

II. Leadership

Does he lead his department toward the goals set by the library?
Does he set a good example in his own work habits?
Is he able to arbitrate any misunderstanding or disputes that may occur between members of his staff?

(1) Marginal
(2) Satisfactory
(3) Satisfactory and sometimes above satisfactory
(4) Consistently above satisfactory
(5) Above satisfactory and sometimes exceptional
(6) Exceptional

Comments: _____

_____

_____

_____

_____

12.73

III. Interpersonal Relations
Does he treat all employees on the job fairly: workloads, hours, privileges, etc.

(1) Marginal
(2) Satisfactory
(3) Satisfactory and sometimes above satisfactory
(4) Consistently above satisfactory
(5) Above satisfactory and sometimes exceptional
(6) Exceptional

Comments: _____

_____

_____

_____

_____

_____

IV. UTILIZING PERSONNEL
Is he able to use the right person in the right place at the right time?

(1) Marginal
(2) Satisfactory
(3) Satisfactory and sometimes above satisfactory
(4) Consistently above satisfactory
(5) Above satisfactory and sometimes exceptional
(6) Exceptional

Comments: _____

_____

_____

_____

_____

V. Training and developing others
Does the supervisor train his staff adequately? Does he encourage professional growth and development?

(1) Marginal
(2) Satisfactory
(3) Satisfactory and sometimes above satisfactory
(4) Consistently above satisfactory but not exceptional
(5) Above satisfactory and sometimes exceptional
(6) Exceptional

Comments: _____

SECTION "B"

I. Other Comments:

SECTION "C"

I. Overall Rating

Category	Level of Performance Score
Communication	
Leadership	
Interpersonal Relations	
Utilizing Personnel	
Training and Develpping Others	

Total Performance Score _____ ÷ 5 = _____ (Overall Rating)

Your Name (Optional) _____.

(C O N F I D E N T I A L)

EVALUATION OF SUPERVISOR

WASHINGTON UNIVERSITY
SCHOOL OF MEDICINE LIBRARY

NAME: _____

SECTION: _____

Prepared by:	*Date:*
Interviewed by:	*Date:*

(C O N F I D E N T I A L)

1. Evaluate your supervisor on the following list of characteristics:

Characteristics	Comments
1. Competence: for example, does supervisor know requirements of your job; does she/he know and perform her/his own work with such competence that it serves in itself as a standard and guide; is she/he able to give you help when needed?	
2. Relation to Staff: for example, is supervisor consistent; does she/he treat people equitably; does she/he keep staff informed of library-wide developments; is she/he available when you need her/him?	
3. Communication and Instruction, Development of Staff: for example, does supervisor give clear and consistent instructions; does she/he act upon them in a reasonable, equitable manner; does she/he assist you in establishing reasonable work goals?	

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2. Write one to four paragraphs on other aspects of your supervisor's performance that pertain to your job.

I have read and discussed this review with the reviewer.

Comments: (If desired)

Signature _____ Date _____

TRAINING SUPERVISORS IN PERFORMANCE
APPRAISAL METHODOLOGY

YALE UNIVERSITY LIBRARY

PERFORMANCE EVALUATION WORKSHOP

SML 512 - Monday, September 20 - Thursday, September 23, 1976

S C H E D U L E

Session I (Monday, September 20, 10:00 - 12:00 A.M. and 1:30 -3:30 P.M.)

Introduction

1. Objectives of the Workshop
2. Review of the present procedures

Performance Evaluation -- Philosophy and Purposes

The Performance Evaluation Form -- Definitions and Standards

Session II (Tuesday, September 21, 10:00 - 12:00 A.M. and 1:30 - 3:30 P.M.)

Case Studies

Session III Wednesday, September 22, 10:00 - 12:00 A.M. and 1:30 - 3:30 P.M.)

The Performance Evaluation Interview

Session IV Thursday, September 23, 10:00 - 12:00 A.M. and 1:30 - 3:30 P.M.)

Interview Exercise

YALE UNIVERSITY LIBRARY

PERFORMANCE EVALUATION - THE INTERVIEW

A. Purposes of the Interview

1. Build a stronger work relationship.
2. Assess the individual's performance, giving him a clear picture of where he stands at the time.
3. Provide the individual with an opportunity to discuss his aspirations, goals, suggestions, frustrations, anxieties, etc.
4. Discuss problems that may exist and opportunities for improvement.

B. Preparing for the Interview

1. Review the job description.
2. Think about the individual.
3. Review the evaluation and the reasons for the particular rating.
4. Determine what is to be accomplished in the interview.
5. Plan time and place of meeting.

C. Manner and Method of the Interview

1. Provide sufficient time and conduct it in an unhurried way; put the individual at ease.
2. Explain the reasons for and the importance of the interview.
3. Emphasize the development and growth of the individual.
4. Indicate that current ratings or "impressions" are not fixed or permanent, i.e., that the individual is not "labelled."
5. Avoid domination or cross-examination.
6. Provide the individual with opportunity to contribute to the interview, i.e., help to make it a dialogue.

D. The Content of the Interview

1. Discuss first the individual's overall performance.
2. Emphasize strong or favorable points about the individual's performance wherever it is possible to do so.
3. Discuss specific shortcomings, allowing time for explanations, face-saving, etc.
4. Move from shortcomings as soon as they have been adequately covered to a discussion of ways to avoid recurrences and accomplish improvement.

E. Interview Situations

1. Individual accepts evaluation and indicates willingness to improve.
2. Individual cannot agree with evaluation; disagrees constructively and unemotionally.

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Performance Evaluation - The Interview

E. Interview Situations - cont.

3. Individual agrees completely and almost too easily; does not understand or is hiding objections?
4. Individual avoids responsibility for action and shifts criticism to others.
5. A good worker wants or offers to resign.
6. A poor worker wants or offers to resign.
7. Individual loses temper; becomes abusive.
8. Individual breaks down and cries.
9. Individual is surly.
10. Individual is passive.

F. Closing the Interview

1. Review
2. Reassure
3. Make clear
4. Schedule time for follow-up interview if advisable or requested.

YALE UNIVERSITY LIBRARY
PERFORMANCE EVALUATION - PROFESSIONAL STAFF

(Return to Library Personnel)

Name: _____ Position: _____

Dept./Div.: _____ Period Covered by Review _____

A. PERFORMANCE FACTORS. Using the following groupings as a guide, comment either on a specifi item(s) or in general, as appropriate. You need not use whole sentences if a word or phrase will suffice.

Technical Factors: Knowledge of techniques Understanding of procedures Quality of work Quantity of acceptable work Comprehension of assignments	
Personal Factors: Initiative Resourcefulness Ability to carry through to completion by self Adaptability Receptiveness to constructive criticism Relations with others Dependability Punctuality, attendance	
Supervisory Factors: (as applicable) Planning and organizing Instructing and guiding staff Coordinating and monitoring the work Delegating responsibility Selecting, evaluating, and developing subordinates Communication with staff and superiors	

D. ADDITIONAL COMMENTS. These might include suggestions and goals for improvement or future growth, mention of special assignments or projects undertaken during this review period, special strengths the individual brings to the job, or any other pertinent remarks.

Immediate Supervisor:_____ Date:_____

Position: _____ Dept. Head's Initials_____

C. STAFF MEMBER'S COMMENTS. These might include comments on the above rating and the staff member's own evaluation of his or her progress or contribution to the job.

Staff Member's Signature:_____

Date:_____

(Return to Library Personnel)

YALE UNIVERSITY

PERFORMANCE EVALUATION FORM

DATE _____

NAME & TITLE _____

IMMEDIATE SUPERVISOR (name & title) _____

SECOND LEVEL SUPERVISOR (name & title) _____

I. Overall Evaluation: This employee's overall job performance is:

_____	_____	_____	_____	_____
Excellent	Very Good	Good	Marginal	Unsatisfactory

If an employee is rated as marginal or unsatisfactory, the employee will be reevaluated on _____.
DATE

II. Employee Characteristics. The immediate supervisor should graphically rate the employee in all APPLICABLE categories. If a category does not apply, check the last column. The corresponding continum numbers are: 1) Excellent 2) Very Good 3) Good 4) Marginal 5) Unsatisfactory. Please rate the employee according to this scale. Circle the most appropriate number or as near as possible.

		Not Applicable
A. Attendance: Daily presence and punctuality	1 2 3 4 5	_____
B. Responsibility: Acceptance & fulfillment of work & related requirements.	1 2 3 4 5	_____
C. Initiative & Judgement: Resourcefulness, leadership, intelligent decision-making.	1 2 3 4 5	_____
D. Quality: Thoroughness, accuracy, neatness, & dependability of results of work.	1 2 3 4 5	_____
E. Quantity: Volume of acceptable work.	1 2 3 4 5	_____

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F. Compatibility:
Accord with others _____ 1 2 3 4 5 _____

G. Knowledge:
Thoroughness of grasp of _____ 1 2 3 4 5 _____
conceptual and technical aspects of work, i.e. machinery, theories.

H. Other:
Any other specific factor that bears on this individual's performance.

III. Explanations and comments by immediate supervisor. Section III is for the immediate supervisor to explain any category in Section II in which the employee is rated above or below good. Specific areas in which the employee needs to improve should also be included here.

_____ _____
Signature Date

IV. Comments by the division or department head, chairman, or business manager. This section may be for additional comment on the employee.

_____ _____
Signature Date

V. Comments by appraised employee. This section is for the employee to record his/her impressions of his/her performance and to state his/her views of the completed appraisal form.

_____ _____
Signature Date

VI. For Office Use Only

(Prov. Eval. Form 12/21/72)

THE UNIVERSITY OF CONNECTICUT LIBRARY

Performance Evaluation Training Program

January 1978

Sheila Creth
Assistant Director

DEFINITION OF TERMS

Objectives are broad, general statements of intent regarding desirable conditions which require a course of action to achieve. It is a description of what is intended to exist or to be accomplished.

Goals translate objectives into specific agreed upon actions which are established to be accomplished within a specified period of time.

> Performance Goals are directly related to the individuals' job responsibilities and priorities within these responsibilities, and should include both ongoing activities and/or special project activities.

Standards are the means by which we measure the successful completion of goals.

PURPOSE OF PERFORMANCE EVALUATION

1. To review and establish individual work goals and objectives.

2. To encourage the continuing mutual assessment of the individual's role in the department.

3. To provide a basis for motivation toward effective and satisfying job performance.

4. To maintain and facilitate a positive working relationship between the immediate supervisor and individual staff members.

   - identify and solve problems
   - clarify what is expected of staff
   - clarify for supervisors what can reasonably be achieved

5. To provide a means for determing with staff areas for their personal and professional growth within the job, the library and the profession.

* * * * * * *

I. Preliminary Assessment

Prior to writing the evaluation, give careful consideration to the following:

A. The performance goals agreed upon;

B. Suggestions for meeting the developmental needs of the staff member;

C. An estimate of the individual's potential in developing within the context of his/her present job.

II. Review with the Next Management Level

This step is important for several reasons:

A. You as a department/unit head have the responsibility for reaching the departmental/unit objectives and those of your staff;

B. The review process provides your manager with information on your staff which is essential for an understanding of the relationship of the performance of your staff to others;

C. Your manager may have a broader view of the organization and of the possibilities for training, advancement, or suggestions for solving problems/obstacles.

III. The Evaluation Interview

This is a critical step in the performance evaluation process. The following should be considered carefully in advance:

A. Several days in advance of the evaluation interview, arrange the date and time with the employee.

B. Suggest that the employee review his/her own performance in light of the agreed upon goals.

C. Arrange the interview location so there will be privacy as well as sufficient time to conduct the discussion without being rushed.

D. During the discussion encourage self-evaluation on the part of the employee.

E. You may want to begin the discussion by reviewing some main goals and key result areas.

F. Inquire about problems or obstacles that the employee finds are impeding progress and job satisfaction. Mutual understanding of the problems may help in their resolution.

G. Be a good listener.

H. Ask the individual what you can do (behavior, attitude) to help in his/her job performance. (This provides you with feedback on your behavior and how it affects your staff.)

I. When reviewing areas in which the employee needs development, discuss only a limited number. Direct your discussion to those major areas which are critical for job performance and for which you can provide examples.

J. Discuss a plan of action for personal development, training, opportunity for growth, not only to help strengthen the employee but to take advantage of existing strengths and potential ability.

K. Be sure the employee know where he/she stands, in what areas improvement is needed, what plan of action will achieve improvement, and what opportunities are available for future development.
A recapitulation of key points at the end of the discussion made by either the employee or the supervisor - is a good way to assure joint understanding.

L. By the conclusion of the evaluation interview, or at a subsequent meeting performance goals should be reestablished for the next time period. These goals may be the same, similar or different than previous goals depending on job responsibilities.

IV. <u>Follow Through</u>

In addition to the formal evaluation process, it is the supervisor's responsibility to review the staff member's progress in achieving goals and to encourage as well as facilitate the employee's participation in evaluating the agree-upon goals.

ESTABLISHING PERFORMANCE GOALS

I. Advantages of Setting Performance Goals and Standards

A. Primary Advantages

1. Manager and staff member agree on responsibilities and priorities of position.
2. Staff member knows in advance the basis for evaluation.
3. Provides self-evaluation for staff member.
4. Provides basis for improved communication between manager and staff.
5. Provides motivational environment for staff since it helps staff to set goals that are both challenging and reachable.
6. Provides a method of determining developmental/training needs of staff.

B. Related Advantages

1. Provides a planning tool for manager and staff in that it identifies weak areas in work flow, work assignments, schedules and the like.
2. Provides an on-going means to monitor unit goals and to reset whenever necessary.

II. Principles for Setting Goals

A. Focus on performance goals established for the position - not on the individual. MEASURE FOR RESULTS.

B. Goals must be measureable. (Words to avoid in writing goals: adequate, necessary, satisfactory, appropriate, reasonable, and so forth.)

C. Goals should be realistic.

D. Goals should be clearly and concisely stated.

E. Establish goals for most important elements of the job, not only the simplier tasks.

F. Goals should be sufficiently flexible to account for changes in priorities, workflow, vacations and the like.

G. Individual performance goals should always relate to departmental goals and to the overall objectives of the Library.

III. Areas to Consider in Setting Goals in the Evaluation Interview

The appraisal interview is a time for staff to discuss ideas and problems about his/her work, and therefore should be encouraged to discuss frankly all aspects of the job and the established goals. The following areas might be covered during the evaluation interview:

A. Results during the previous year (or established time frame).

B. Accomplishment on specific goals.

C. Was there agreement on priorities.

D. What takes most of the time on the job.

E. What were problem areas.

F. Is there anything that prevents the individual from doing the kind of job desired.

G. Are there ways that the manager can be more helpful.

H. What should be concentrated on for the coming year.

I. What changes are anticipated that should be planned for in setting new goals.

IV. Obstacles to Achieving Performance Goals

Obstacles to excellent performance might be located within the staff member, the library, the supervisor, the job itself, or relationships with colleagues. During the evaluation interview, it is important to identify these obstacles so action can be taken to eliminate them or at least minimize their impact. Examples of common obstacles include:

A. Goals set unrealistically high.

B. Staff member diverted from area of responsibility to work on new problem.

C. Inadequate planning.

D. Failure to follow established procedure.

F. Changed conditions in work unit.

G. Insufficient motivation.

H. Inadequate training.

I. Lack of cooperation among some staff, or from other departments/units of the library.

J. Inflexible or inadequate procedures/policies.

It is important to identify the obstacles and to attempt to reach agreement on what they are. The staff member's perceptions should be sought, listened to and discussed. While there is a natural tendency to become defensive in an interview of this sort, it is necessary to bring disagreements into the open and work toward some level of agreement that can lead to positive action thereby eliminating or at the least minimizing such obstacles.

(Obstacles section adapted from ARL publication "Staff Performance Evaluation Program at the McGill University Libraries," 1976.)

THE UNIVERSITY OF CONNECTICUT LIBRARY

Schedule for Implementing the Performance Evaluation System

1. Within one week after general orientation meeting with Library staff to explain performance evaluation system, department/unit heads will begin implementation of this system by

   meeting with at least two (2) professional staff members each week to begin establishing performance goals until all staff have established performance goals.

2. Department/unit head will begin discussions with staff by reviewing the individual's job description (or where this does not exist by outlining the responsibilities/duties of the position) and agreeing on priorities for the time period for which goals will be set.

3. Once job responsibilities and priorities are agreed upon, the department/unit head and the staff member should begin discussing specific performance goals for each job responsibility. This may take two meetings in order to allow sufficient time for discussion and writing of the goals.

   Each staff member should be responsible for drafting the statement on performance goals and then these will be refined and/or adjusted after discussion with the department/unit head.

4. After three months, the department/unit head will meet with staff again to review the initial performance goals in order to determine if they seem realistic and measurable or if adjustments should be made. This review will provide an opportunity for both the supervisor and the employee to assess the individual's performance in relation to the performance goals.

5. After performance goals have been set for six months, the department/unit head should repeat this informal review with the staff member.

6. At the end of one year, an annual performance evaluation will be conducted based on the stated performance goals for each staff member.

7. Thereafter, a review of performance goals and performance evaluation will be conducted on the following schedule:

   a. Periodic, informal review of performance goals and performance will be conducted at the request of either the department/unit head or the staff member but no less than once every six months.

   b. Formal evaluation of staff member's performance in relation to stated performance goals will be conducted on an annual basis.

When the annual evaluation is completed, a copy of the form will be forwarded to the department/unit head's immediate manager who will review and comment. This copy will then be forwarded to the Library Assistant Director for review with the University Librarian and then filing in the staff member's personnel file. Both a copy of the evaluation statement and performance goals should be forwarded.

UNIVERSITY OF CONNECTICUT
University Library

Professional Staff Evaluation Record

Name_____ Payroll Title_____

Functional Title_____ Library Dept._____

Evaluation Period: From_____Through_____

Probationary_____ Regular_____

Based on a review of _____'s performance I have found his/her performance for the period to be _____satisfactory/_____unsatisfactory. I have prepared a more detailed written evalution of performance in relationship to goals and objectives which is on file in the individual's personnel file in the Administrative Offices of the University Library.

_____ date_____
Department Head's signature

_____
Department Head's Name and Title

I hereby certify that I have had an opportunity to develop performance goals in conjunction with my supervisor and that a written evaluation of my performance for this period, based on those goals, has been reviewed and signed by me.

_____

_____
Date

(NOTE: This page is forwarded to University Administration for person's central administration file.)

Name_____

Evaluation Statement (Summary of employee performance for the period. This summary should be directly related to the achievement of the individual's performance goals taking into account, as appropriate, such factors as: quality of work, dependability, judgment, extent and application of subject and/or technical skills, initiative, human relations, and attendance.)

Professional Staff Evaluation Record

Name_____

Areas of Particular Strength

Areas for Development and/or Improvement

Areas to be Addressed in Revison of Performance Goals

Staff Member's Comments

Professional Staff Evaluation Record

Name_____

Date Reviewed_____ Staff Member's Signature_____

Department Head's Signature_____

Dept. Head's Name and Title_____

_____

****

Reviewed by_____ Date_____
Signature

_____
Name and Title

Comments, if any. (N.B. If comments are added here, the forms must be returned to the department head and the individual for response, if any, and signature.)

Response, if any.

_____Date Staff Member's Signature_____

_____Date Dept. Head's Signature _____

****

When completed, this form, along with a copy of the individual's performance goals, should be forwarded to the appropriate administrative officer within the Library for review with the University Librarian. The first page will be forwarded to the Central Records Office of the University Administration. The completed form will be filed in the staff member's personnel file in the Administrative Offices of the University Library.

PLANNING A PERFORMANCE APPRAISAL SYSTEM

A PROPOSED PLAN FOR PERFORMANCE EVALUATION IN THE MICHIGAN STATE UNIVERSITY LIBRARY

Evaluation of personnel has a dual purpose: the improvement of the individual and the improvement of the organization. In any evaluation system these two primary purposes are continually mixed up with other functions such as salary increases, continuing appointment, and promotion. All decisions relating to these matters eventually are based upon someone's judgment. There is reason to believe that a system of staff performance evaluation might benefit Michigan State University Library and the library faculty.

It is not the purpose of this paper to rationalize staff performance evaluation, but to explain how it might work at Michigan State University. It should be noted, however, that a number of factors associated with performance evaluation have been identified as being beneficial to the librarian: (1) communication between the individual and the supervisor should be improved, (2) there will be a better understanding of the role of the individual in the overall program of the library, (3) training needs will be identified if they are necessary for the completion of objectives, (4) librarians will become more involved in program developments for the library, (5) problem areas that have restrained the individual from meeting his objective will be identified, (6) job enrichment should result.

While a system of performance evaluation is of benefit to the individual, it is also of benefit to the library. With staff performance evaluation we should be able (1) to improve productivity of units, (2) to identify under-utilized units and obsolete programs, (3) to improve the planning and problem solving process, (4) to involve more staff in the University's Annual Evaluation and Review, (5) to improve communication, both vertically and horizontally, and (6) to identify and assign accountability.

Since there seems to be general agreement that a type of performance evaluation should be considered at Michigan State University, what follows is a brief overview of how the program might work. This overview can be abandoned, revised or changed as is appropriate for the best development of library programs.

DEFINITIONS

The following definitions are not offered as definitive in the area of management and personnel administration, but rather as a base from which we can all discuss the process.

1. Goals: a general statement of why the Library or units exist within the academic programs of Michigan State University.
2. Continuing objectives: series of general statements that make it possible for us to fulfill the goal stated previously; the continuing objectives do not necessarily have time limit, but will continue as objectives as long as the goal of the library is unchanged.
3. Specific objectives: more specific statements of what can be accomplished over the one or two year period to further the continuing objectives.
4. Performance objectives: the statements of individuals of what they plan to accomplish to further the continuing and specific objectives of the unit.
5. Performance measures: a statement of how the performance objectives will be measured and evaluated.

Also, for purposes of this discussion, department objectives and the objectives of the four major departments within the Library--General Readers Services, Resource Development and Special Services, Technical Services, and Science Libraries. Unit objectives are the objectives of each separately reporting unit within a department. For large units, such as cataloging, acquisition, reference, and others, there will be additional unit objectives for each area or section of the major unit.

LIBRARY, DEPARTMENT, AND UNIT

Several years ago we developed a statement of goals and objectives for the Michigan State University Library. This is on file with the Provost. It remains as a significant document for our annual evaluation and review. The Library statements do exist, but they can be revised if it seems appropriate.

It would be my intention to reconsider the goals and continuing objectives of the Library and to add four or five specific objectives for attainment within the next one or two years. This statement would be reviewed and discussed and amended by the Library Advisory Council. (See Attachment #1 for a preliminary draft of how this statement might be developed).

Once the library-wide statements were approved, they would be forwarded to the Associate/Assistant Directors for consideration by them and by their advisory groups. Each department within the library will develop a statement of continuing and specific objectives that will further the library-wide objectives stated earlier. (See Attachment #2 for a preliminary draft from one of the departments).

The departmental objectives will be considered by each unit within the department. The unit head, and all library faculty within the area, will meet to devise unit objectives that will further the objectives of the department.

A recycling process will have to take place whereby the unit objectives are reconsidered by the Assistant Director in light of the department objectives, and the department objectives will be reconsidered by the Director in light of the library-wide objectives. The resulting document would be work plan for the Michigan State University Libraries for the coming year.

PERFORMANCE OBJECTIVES

The key to the success of performance evaluation - for both the individual and the library - is the development and statement of the performance objectives and the performance measures. Recognizing the importance of this activity, it would be our intent to have a series of workshops to develop the skills and techniques for writing the objectives and understanding the superviser/librarian relationship in accomplishing the objectives. The workshops should assist in writing objectives that are clear, specific, and practical; they will be of help to the supervisers in planning and training that will be required.

After the workshops and after the unit objectives have been established, each individual, working with the immediate supervisor, will develop a series of performance objectives to be met during the coming year. These objectives will assist the unit in meeting its overall objectives. The development of individual performance objectives will be the result of consultation and consensus between the individual and the supervisor. If there is no consensus, the next level of supervision will assist in the development and statement of the objectives. (See Attachment #3).

Performance objectives do not stand alone, however, but must be considered in terms of how they will be measured, what are the priority and what are the time frames. These decisions will be made between the librarian and the supervisor. It is particularly important to state the objectives in such a way that there can be meaningful and useful performance measures. They may be quantifiable, such as time lapse between acquisition of material and forwarding to the cataloging unit, or they may be more subjective, such as serving users in an effective way. In either case, they should be defined as specifically as possible and should be observable. They should provide a means for the staff member to know when his or her work is acceptable.

FLEXIBILITY

It is important that we do not lose flexibility with this type of evaluation system. There are many external forces that will change our objectives both for the unit and the individual. We must accommodate the changes if we are to continue to meet our goal in a university setting. Therefore, it is necessary that the supervisors and the librarians review the individual objectives on a continuing basis. If it is appropriate, individual performance objectives can and will be modified throughout the year.

BYLAWS

If we are to adopt a system of performance evaluation, the bylaws will have to be changed. Below is a statement of the Bylaws

as they currently exist. Those statements with lines through them should be deleted; the parenthetical statements should be deleted.

1.4. Annual Librarian Evaluation

1.4.1. All librarians shall have their performance evaluated annually for the purposes of improving the librarian's performance and service to the library and the university, job security, promotion and compensation.

1.4.2. This evaluation shall be done by the immediate supervisor, including consultation with the evaluated librarian, ~~during the spring term of each academic year~~. Librarians are guanranteed the right to review and to make written comment on the original evaluation and on any additions or emendations made thereon.

~~1.4.3. In all matters requiring evaluation of librarians, the following criteria have been identified as being relevant to the librarian's role at the university: job knowledge, quality of librarianship, effectiveness with others, organizational ability, professional development and service to the library and to the university. These criteria are detailed on the Library Faculty Evaluation Form, which is attached to these Bylaws as Appendix II.~~

1.4.3. Annually, for each librarian, an evaluation packet shall be assembled to consist of: a current and an accurate job description, the statement of the librarian's individual objectives and performance measures (see Attachment #3) and a written evaluation by the immediate supervisor, (see Attachment #4) ~~using Part II of the Library Faculty Evaluation Form, and a Personal Annual Review Form~~.

1.4.4. The current evaluation packet shall be made available to appropriate library committees directly concerned with awards, job security, promotion, and/or compensation.

1.4.5. The evaluation packets ~~and Part I of the Library Faculty Evaluation Form~~ will be kept in the appropriate departmental office files for four years.

It seems that most of the staff is willing to try a new form of evaluation. A large number feel that performance evaluation has much to offer to them as an individual and to the Library as an institution. It is worthy of continued discussion.

UNIVERSITY LIBRARIES: STATEMENT OF GOALS AND OBJECTIVES
(A preliminary draft for explanation purposes only)

The goal of the M.S.U. Library is to support the instructional, research, and public service programs of the University. More specifically, it is our goal to make available to the M.S.U. students, faculty, and staff, information resources for their curricular, research, and general information needs; and, in addition, to fulfill our obligations in state, regional, and national information programs.

The goal can best be met with five continuing objectives. It is our intent to increase availability of information resources for the University community by--

--providing a collection of information resources which meet the needs of the University community.

--organizing, maintaining and controlling the collection for maximum utilization.

--providing bibliographic aids and assistance in identifying, locating, and using information resources, including those not available in the University Libraries.

--providing facilities and equipment for the storage and use of information resources.

--promoting the use of the University Libraries and information resources.

The following specific objectives have been identified as short-term steps toward fulfilling the continuing objectives.

--to have on-line computer access, by author, title, and subject, to the 300,000 volumes which will account for more than 75% of the expected circulation.

--to develop a full bibliographic record in machine readable format of current acquisitions.

--to utilize bibliographic and informational data bases as a normal extension of reference and information services.

--to better utilize existing space and to provide new space for library services.

--to develop and codify a personnel system that will assure continued quality of the library staff.

--to gain recognition for the M.S.U. Library services and programs both locally and nationally.

MSU LIBRARIES

TECHNICAL SERVICES DEPARTMENT: STATEMENT OF GOALS AND OBJECTIVES
(A preliminary draft for explanation purposes only)

The goal of the Technical Services Department is to acquire library materials and to provide bibliographic access to these materials in support of the curricular, research, and general information needs of the M.S.U. students, faculty, and staff; and, in addition, to assist in the fulfillment of the M.S.U. Libraries' obligations in state, regional, and national information programs.

The goal can be met with three continuing objectives.

--acquiring and receiving library materials, through exchange, gift, and order programs.

--providing bibliographic access to the collections through cataloging, classification, and appropriate subject analysis of library materials.

--providing maintenance of the bibliographic files; providing physical processing for library materials.

The following specific objectives have been identified:

--to handle searching and ordering on a current basis; with "B," "C" and "S" orders as first priority.

--to receive all incoming library materials on a current basis; and to maintain library materials accounting in a current status.

--to catalog and process 42,000 titles.

--to determine feasibility and cost of developing a full bibliographic record in machine readable format for current acquisitions.

--to provide bibliographic access to the Special Collections arrearage.

--to develop a program for the provision of full catalog card sets for the approximate 18,000 titles originally transferred to the Art Library.

--to determine impact of implementation of AACR2 on our catalog.

--to define possible alternatives to the present structure of the department.

--to encourage staff to actively participate in professional organizations, to plan and/or conduct programs, to accept consultantships, and to report in print on the programs and services of the M.S.U. Libraries.

MICHIGAN STATE UNIVERSITY LIBRARIES Attachment #3

Individual Performance Objectives and Measures

Based on the staff member's and supervisor's agreement on the staff member's major activities, list the staff member's performance objectives and measures for the next evaluation period.

Performance Objectives	Performance Measures

Supervisor's signature: _____

Staff member's signature: _____

MICHIGAN STATE UNIVERSITY LIBRARIES

ANNUAL PERFORMANCE EVALUATION

Performance Evaluation of: _____ By: _____

For the period of: _____

I. Describe briefly the staff member's level of success in achieving his/her performance objectives during the past year. What have been the contributing factors? Consider work load, organizational obstacles, amount of supervision available, amount of training provided, etc. Be as specific as possible.

(Continued)

II. Indicate any specific action planned as a result of this evaluation, e.g. revise objectives, investigate training, change work procedures, shift work priorities, etc.

III. Staff members comments:

Supervisor's signature: _____ Date: _____

Staff member's signature: _____ Date: _____

Associate/Assistant Director: _____ Date: _____